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An Applied Linguistic Analysis
of the Simplification of Narrative Texts.

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Thesis presented for the degree of
Doctor of Philosophy
in
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February 1980.

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Simplification of texts has traditionally been carried out by replacing words and structures with appropriate semantic equivalents in the learner's interlanguage, omitting whichever items prove intractable, and thereby bringing the language of the original within the scope of the learner's transitional linguistic competence. This kind of simplification focuses mainly on the formal features of language.

The simplifier can, on the other hand, concentrate on making explicit the propositional content and its presentation in the original in order to bring what is communicated in the original within the scope of the learner's transitional communicative competence. In this case, simplification focuses on the communicative function of the language.

Up to now, however, approaches to the problem of simplification have been mainly concerned with the first kind, using the simplifier's intuition as to what constitutes difficulty for the learner. There appear to be few objective principles underlying this process.

The main aim of this study is to investigate the effect of simplification on the communicative aspects of narrative texts, which includes the manner in which narrative units at higher levels of organisation are structured and presented and also the temporal and logical relationships between lower level structures such as sentences/clauses, with the intention of establishing an objective approach to the problem of simplification based on a set of principled procedures which could be used as a guideline in the simplification of material for foreign students at an advanced level.

Discourse/text

Simplification of narratives

ESP

Acknowledgements.

I wish to thank my supervisor, Mrs. C. Johns, for her continued interest, encouragement and invaluable help. I wish also to thank Professor D. Ager for his support and understanding and Dr. J. Ellis for his interest and useful discussions at the beginning of the work.

I am also grateful to my family for their continuous support, and to my husband and son for putting up with me during a year's work.

Thanks are also due to the Egyptian Government for their financial support and to my colleagues in Ein Shams University for all their help and understanding.

I wish also to thank Mrs. Brock for her efficiency in typing this thesis.

Preface.

The purpose of this preface is to clarify the organisation of this study. Chapter 1 is introductory. Traditionally, simplification has been carried out in terms of vocabulary and syntax based on the notion that these are the areas that cause difficulties in reading comprehension. Recent linguistic and psycholinguistic studies, however, have realised that other aspects of text structure are equally important for the comprehension of texts, which results in a renewal of interest in the overall structure of texts, including the organisation of various structures within texts, their propositional development in terms of their communicative function, and the effect of that on comprehension. Chapter 1 provides a brief account of the various approaches to simplification in the past, together with the more important aspects of work done recently on reading comprehension.

The concept of simplification cannot in practice be separated from that of comprehension. To state that one text is "simpler" than another must mean that it is in some way more "comprehensible". Simplification, therefore, should deal with difficulties caused by lower level text structures such as clauses and sentences as well as higher level structures defined in discursal terms. Chapter 2 is concerned with a number of terminological distinctions related to "text" and "discourse". Then two narrative texts are described and compared in an informal manner in order to establish what is involved in simplifying a narrative text/discourse.

Chapter 3 gives an account of the various approaches in which to analyse discourse, and this serves as an introduction to the following chapters.

The main body of the study from Chapter 4 onwards is concerned with a series of analyses defined according to the type of structure and level of organisation involved. Two narrative texts, one of which is a simplified version of the other are the basic data for these analyses. In Chapter 4 a model of

discourse characterisation is presented, based on narrative structure, in order to account for the way narrative components are structured at higher levels of organisation. Moving up the rhetorical hierarchy from a "motif" level to a "span" level, a span is defined as a group of motifs forming a complete unit of information. Likewise, span units are found embedded in a unit at a higher level of organisation, i.e. "episode". This unit is in turn related to the function of the total discourse, which in this case is the "story".

The two texts under study are described in terms of discourse units and compared.

At a lower level of organisation, narrative discourse is developed by one or more of what may be called relational or organisational principles. It can be organised in such a way that the linear sequence of sentences or clauses corresponds to the sequence in time (or space) of events described, this type of organisation is called "natural" ordering. On the other hand, the author may deliberately choose to organise his material in a certain rhetorical way in order to help the reader to relate events/descriptions as the author himself sees their relationships, this type of organisation is called "logical ordering". Chapter 5 examines the "natural" and "logical" relationships between sentences/clauses in the two texts. It also examines the effect of the simplification process on them.

Chapter 6 concentrates on the major difficulties which faces learners in processing items at the lowest level of organisation, i.e. clauses, phrases, lexical items and cohesive devices. The two texts, therefore, are compared to find out the effect of simplification on such difficulties.

Four other narrative texts and their simplified versions are compared for validation of previous results. Chapter 7 summarises the significant results of these analyses, makes certain generalisations as to the common procedures underlying simplification and discusses the utility of such procedures for a certain group of learners and their special purposes.

What simplifiers do does not always correspond with what simplification should involve, Chapter 8 suggests some guidelines, based on the previous investigation for the simplification of narrative texts for advanced foreign learners, discusses their pedagogical implications and proposes further research.

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CHAPTER I

The Notion of Simplification and Its Role in ELT

1.1 The aims of simplified readers:

The use of adapted and simplified versions of reading material in English language teaching has been widespread for the past thirty to forty years. Michael West, who along with H. E. Palmer, was a pioneer in this field, in the 1930's, summarises the aims of such readers as follows:

"It (the simplified reader) gives extra practice in reading, it reviews and fixes the vocabulary already learned, it "stretches" that vocabulary so that the learner is enabled to give a greater width of meaning to the words already learned; and lastly by showing the learner that what he has learned so far really enables him to do something, it encourages him to read matter which is worth reading."

(1950:48)

He demonstrates also how such "readers" help the learner to practise "inferential reading" by "contextualising" formal items in grammar and lexis:

"Thus having learned the word pencil, he (the learner) may be expected to guess the meaning of a "pencil of light" On the other hand, much depends on the context, one can make almost anything inferable. The reader does not know the meaning of the word gori, but "he took his gori out of his pocket, looked at it and said, "It's just five minutes to twelve", "here the meaning is inferable".

(1950:49)

The purpose of "simplified texts" thus, at least according to West, is to practise and develop reading comprehension. It is intended not only to reflect what the reader already knows, but to extend this knowledge.

It follows that the procedure of simplification involves:

- "1. Making a given text easier to understand by bringing its content within the area of language already assumed to be known.
2. Allowing the inclusion of some language items

not already known but whose meaning is, presumably recoverable from the context."

(Widdowson and Davies 1974b)

It is clear that simplification procedure is based on assumptions as to what is involved in reading comprehension. The writer simplifies in the light of what he understands will be difficult for the learner. On the other hand, if language items are included which are not already known, the writer makes assumptions about what controls the ability to infer meaning from context.

The second point explains what West means by "stretching vocabulary", what he calls the "art of inferential reading" (West 1950: 189).

"Simplified Readers" however, have been used pedagogically in two ways: firstly to supplement existing aural-oral programmes "by providing reinforcement for structure and vocabulary" (Haskell 1973:1), and secondly to "afford models for the student's compositions" (Palmer 1932). The first of these two ways of using "simplified readers" is to support and develop recognition skill in reading, the second is to develop productive skills of writing and speaking for: "the foreign learner tends to bring into his speech whatever he reads in his books". (West 1950:49).

In addition to these pedagogic purposes, "simplified readers" can be seen to have literary or cultural purposes in that they may serve to introduce learners to British thought and ways of life, to prepare and encourage the reading of such works, especially in countries where "literature" forms a major part of the English Language courses:

"Simplified texts are used in the teaching of FL reading comprehension as a ladder towards less simplified and finally authentic texts."

(Lautamatti 1978:98)

This has led to the use of literary works as basis for many statistically graded simplified readers. The reason for this is suggested by Bongers: "Eminent English authors write more eminently interesting English material than other people" (1947:18).

Yet it must be emphasised that it is not the literary value of a great novel that is transmitted to the learner by means of the simplified version, this is taken for granted as Palmer wrote in 1933:

"We shall always attach more importance to the linguistic needs of readers than to the literary value of authors, for linguistic needs are our affair and literary values are not."

(Palmer 1933)

But the form and style of a literary work is as important as the narrative itself. Inevitably, it is the author's original style that gets lost in simplification. Thus, Literature has been given this ambiguous role in ELT as a servant of the development of reading skill and explorer of the finest use of English.

The use of the great classics has always been open to question however,

"An expert in the grading of linguistic material is not expected to be a writer of interesting stories and so the alternative to allowing him a free hand with the works of those who can write interesting stories is to force him into authorship of dubious competence."

(Bongers 1947:19)

1.2 Principles behind simplification procedures:

The term "simplification" has been used to refer to the re-writing of texts with the intention of making them more readable or more easily comprehensible. H.E. Palmer was one of the first writers to discuss the principles behind the simplification procedures:

"the idea of composing text (or of recasting in a simplified form the texts of the original authors) with a view to providing reading matter for those who are not yet able to read ordinary texts with sufficient ease or speed is by no means a new one. Composers of elementary reading books or a foreign language course have availed themselves of the resources provided by vocabulary limitation, grammar simplification and stylistic modification."

(Palmer 1932)

Indeed, Palmer notes that graded texts may be produced in three ways:

1. By composing entirely original material
2. By translating material from another language
3. By rewriting material already existing.

It is clear that Palmer was aware of the broader implications of the notion of simplification in language learning: to provide supplementary texts, as distinct from course books, for reinforcing practice material appropriate to a particular level of language competence, or the notion of grading or simplifying structure as well as vocabulary. As West notes:

"One of the commonest faults of 'plateau readers*' is to control vocabulary but not to control grammar".

(West 1950)

Indeed the notions of simplification and complexification are central to the whole ELT operation, as we shall see, and not just peripheral in the form of readers of supplementary nature. He added:

"A complex sentence of four or five lines' length is bad; but of course a chain of simple sentences joined by 'and' or 'but' or a colon used where there might be a full stop offers no reading difficulty".

(West 1950)

What is suggested here is that sentence length may cause reading difficulty. So, according to West "control of grammar" can be carried out by:

First: Reducing sentence length by cutting it down into individual simple sentences.

Second: Joining these simple sentences by "and", "but" or a colon.

So, from the beginning the process of simplifying text material or creating new material was seen basically in the terms of vocabulary control, although simplifiers were aware that the control of structural features was an essential concomitant of vocabulary limitations, usually based on frequency counts.

*Simplified readers.

West (1964) assumes that

"In judging and selecting adapted reading books the criterion must be whether the book is successfully adapted (a term he prefers to "simplified and abridged" because in many cases, he observes, "a book may be completely rewritten) to serve the purpose which it is intended to serve at this stage."

He then identifies "four stages in adapted reading books", which represent steps in a total reading syllabus:

STAGE ONE: Introduction to reading for pleasure:

Vocabulary for books at this stage consists of 450 to 750 new words. The criterion is: can a student read this material without too much difficulty? Is it suited to his age? West points out that in the early stages of learning English as a foreign language, "classwork is very largely oral". But despite the commonly held view of the audio lingual method that "no word should be presented in the reading until it has been spoken", reading vocabulary is vastly bigger than the vocabulary of speech and is built up far more rapidly. West gives five reasons for this:

1. "Speech is concerned with structure and the pupil has to learn to put together words and phrases in their correct forms and in their correct order. But in reading, the learner sees the words already put together and has only to recognise them
2. "Oral work, by concentrating on structure, needs very few naming words whereas learning to read books is largely a matter of building up a large recognition vocabulary "
3. "Most words have a "stretch" beyond the fundamental meaning: thus we have mouth (into which food is put and from which sounds and breath come out) and mouth of a river, mouth of a trumpet, mouth of a case, bag, harbour, even "mouthing one's words", (such meanings) could hardly be ventured in speech but might be guessed in reading."

As we have seen from the quotation from West at the beginning of this chapter, stretching vocabulary can be seen as one of

the purposes of supplementary readers, to enable the learner to appreciate the polysemous character of a great deal of vocabulary.

4. "The vocabulary of reading is very different from that of speech. "Ruler, blackboard, pen, pencil" are of low reading value (but of high communicative value in the classroom situation), whereas "army, battle, blood, explode, etc." are very unlikely to find a place in oral work, at least in the very early stages, though they are very necessary in reading."

This point, undoubtedly is relevant as far as many standard audio-lingual courses go, and is particularly important for the question of a reading syllabus. The question arises whether syllabus design and materials preparation should allow such a wide disparity between the two kinds of vocabulary. Indeed one may go as far as to suggest that both vocabularies are essentially "fictional" vocabularies from the point of view of the learner learning to use English in the context of situations which require a communication ability. Neither the language of the classroom, nor the "blood and thunder" vocabulary of his reading of narrative fiction, will be of much use to him.

5. "The order in which words are selected in an oral and in a reading vocabulary is very different. The oral course tends to characterise into semantic sets (to build up words in groups and chains) parts of the body, articles of clothing, colours. A reading vocabulary is built up especially; a word is taken in because one must know it, because there is no other way of conveying this idea, one which is frequently and unavoidably necessary in story telling, e.g. magic, priest, sword."

West goes on to discuss three possible ways of coping with the "discrepancy between reading and speaking vocabulary".

- a. By producing reading books at a lower level than 450 words....

- b. By adding to each simplified reader a glossary of words unlikely to have been covered by the oral course.
- c. By producing a constructive book by reading words leading up to each grade; but this would be tantamount to a reading course.

Simplified readers based on a vocabulary of around the 200 word level tend to be so juvenile in content that little pleasure can be extracted from the experience of reading them except perhaps at a basic literacy level. Glossaries tend to distract, and become a "deterrent to the acquisition of reading techniques". West advocates the development of constructive reading books "that develop the skill of reading techniques in relation to a controlled build-up of the words of the first grade".

STAGE TWO: Enjoyment:

"Vocabulary for books at this stage are from 1,000 to 1,500 or 1,800 new words. The criterion is: Is the work enjoyable? Can the teacher himself enjoy it in this adapted form? West considers that at this second stage "the contents of the richest kind of literature of any language in the world can be available to the learner in a form in which he can appreciate it".

It is not at all clear how West could wish us to interpret the 'pleasure' principal he puts forward. The criticisms he makes of books written at this level - that they are "not adaptations but a mere abstract, a mere precis" - can apply at any level. Indeed the pleasure or enjoyment to be derived from any book at any level must relate to the interests and expectations of the learner.

STAGE THREE: Foretaste:

West admits that the books in Stage 2:

"have little of the flavour of the original and are mostly "adventure stories". In Stage 3 we may endeavour to give a foretaste of more advanced books which may

be read in the original at a later date.
The criterion therefore is: does the book,
without being too difficult, convey some
flavour of the original?"

The danger he sees at this level is the:

"introduction of archaic phrases in an
attempt to give an effect of the style of
the original and the introduction of com-
plex syntactic structure".

The number of words available at this stage should be
between 1,800 and 2,300 words.

STAGE FOUR: Lead-into-unadapted books:

The criterion of this stage must be: does the book present
the original author? Does it present the original in an
assimilable and enjoyable form? At this level:

"inferential meaning is encouraged
Difficulties have to be overcome without
compelling the learner to look at the back
of the book for notes or an alphabetical
vocabulary and yet the words of the original
author must be used."

Some time has been spent on noting and commenting on West's
criteria of the selection of simplified reading books be-
cause what he says sums up not only a widely accepted
approach to the simplification of reading material, but
also how they can fit into an ELT programme. The approach
centres very much around vocabulary control. The selection
of material for simplification is dominated by the view that
the classics of English literature were the most appropriate
material for simplifying. This has had at least two effects:
the substance of ELT course materials has been biased towards
a literary variety of English, and the methods employed at
intermediate and advanced levels have tended towards those
of literary appreciation and criticism. The focusing of
the notion of simplification on literary materials has led
to an inevitable focusing of attention on problems of vocabu-
lary subsuming even structural and stylistic features and the
problem of adapting existing text material.

Just as West's own criteria are nothing but subjective, except perhaps at the lowest level, so the actual techniques of simplification have been ad hoc and inexplicit.

Bongers points out the weakness of vocabulary counts:

"there are no such things as objective word counts ... (for) each counter is free (a) to choose his material subjectively, (b) to decide subjectively upon the number of language groups to be presented and (c) to decide subjectively upon the proportions of different kinds of material,"

(Bongers 1947:96)

However, it is a fact that such word counts exist and were the subject of a great deal of research work in the 1930s, and undoubtedly stimulated the production of simplified material. It is also a fact, that word counts are used as a basis for the preparation of reading material of a mostly narrative kind. Such Word Lists as "West's General Service List of English Words" are indispensable to simplifiers who are required to simplify text material or compose original material within specified vocabulary limits. Thus, vocabulary selection based on word counts, a term of frequency of occurrence, of one kind or another is a fact that has to be accepted, especially at elementary and early intermediate levels of education. What is of interest is the identification of procedures which simplifiers have adopted in addition to the self-imposed restrictions of vocabulary limitation.

An attempt to discover what principles lie behind the techniques of simplification has been made by Dakin, summarised in Widdowson and Davies (ECAL 1974:183-195). Comparing three versions of a passage from "Oliver Twist", the original and two simplified versions of it*, Dakin divides his analysis into three parts: conceiving situational features, lexical features and syntactic features. Regarding the situational features Dakin comments that whereas the original recreates the incidents, the simplified versions reports them:

* Longmans "New Method Supplementary Reader" (Stage 4 p. 4-6), West and Hanson, Longmans 1966 and OUP "Tales Retold for Easy Reading" (Stage 2) J. Page OUP 1947.

"Simplification, then, seems to follow the principles of synopsis rather than translation: they aim at reporting the gist"

(Widdowson and Davies 1974b:191)

As regards lexis, the features available in the two simplified versions relate to "the different restricted vocabularies" they are working from; for the Longman's version the limitation is 1,400 words, for the O.U.P. version it is 2,000 words. In general, it appears that Longman's simplifies more than O.U.P., the latter version being,

"a more faithful recording of the facts of the original"

(1974b:191)

This would be consistent with its higher vocabulary limit. No general principle can be stated, however, beyond saying that both simplified versions, where they alter lexis, do so by hyponymic expressions that are more general in reference than the original, where the meaning is changed - and the intention is to preserve the meaning - the simplified version becomes inevitably vaguer and sometimes more puzzling than the original, e.g. "somewhat alarmed by his own temerity" in the original becomes "almost afraid of his own courage" in Longman, and "trembling" in O.U.P. Some lexical changes involve syntactic changes, but the main aim of syntactic alteration is to "reduce the syntactic complexity of the original". Dakin notes that

"what the simplifiers are trying to do is to adjust the surface structure so that it represents more fully the underlying structure of the sentences concerned. But again it is difficult to trace any consistency in this procedure".

(1974b:193)

Similar conclusions were reached by Fanselow (1969) in his study of condensed and simplified "Reader's Digest" material. Haskell (1973) summarises Fanselow's conclusions as follows:

"Structural simplification was basically a reduction of compound and complex sentences to shorter sentences, or vocabulary control was often nothing but the elimination of unnecessary nouns and modifiers. The process by which the writer had reduced the structural difficulty of the materials was not explained anywhere. The writers seem to suggest that they had some plan in mind, although their simplifications of structure seem to lack any obvious logical system other than the subjective reduction of long sentences to shorter ones."

(Haskell 1973:3-5 on Fanselow 1969)

This conclusion agrees with West's comment quoted earlier (1.2) that what seems to cause structural difficulty is mainly sentence length.

Longman's Structural Readers attempt to lay down some ground rules according to which simplification of existing reading material can proceed (and upon which specially written simplified readers can be based). They make a list of the structures and patterns which should be used at each stage:

"At each stage, not only the words but also the structures are limited the structures that are used were chosen by comparing a number of well known courses in order to find out which structures are mostly taught at each stage."

(Handbook to L.S.R. 1976)

One of the dominant criteria for choosing structures at each stage is "tense/aspect" usage, e.g. present continuous tense and present simple tense were used at Stage 1, while Stage 2 permits the introduction of the past simple, the present perfect and the future simple. Stage 3 permits the past perfect and past perfect continuous. Stage 4 permits passive voice in simple sentences and indirect speech with changes of person and tense.

In other words, it is clear that linguistic criteria for simplification are pedagogic, internally defined with reference to existing ELT course material, rather than com-

municative, i.e. externally defined with reference to the kind of discourse to be simplified and the special language learning requirements of the learner. This will inevitably lead to a comprehension or production gap if the learner has to handle authentic reading material, or real spoken interaction.

However, most ELT courses developed over the past twenty years have been designed in terms of simplification of vocabulary and syntactic structures, on the basis of the philosophy that what needs to be taught from the very beginning is the formal properties of the language:

"manifestation of the language system
as usage, which the structural approach
as commonly practised in general ELT
is primarily designed to teach."

(Widdowson 1975a:3)

Bruton's (1961) attempt to consider the relevance of the notion of simplification to the study of scientific material indicates that a shift of emphasis from structurally graded material, in terms of vocabulary and syntax, to other principles of simplification is necessary. Bruton is aware that there are certain features of technical communication that are puzzling to the non-specialists and require explanation. Such features interfere with the readers' ability to interpret texts, and he notes that:

"English technical books on the whole
assume a certain background of good solid
knowledge on the part of the student and
also assume a good deal of mental ability
that most clearly shows itself in the
tendency to jump from thought to thought
without bothering to instruct the student
how to bridge the gap."

(Bruton 1961:26)

What Bruton is concerned with here is the difficulty foreign learners of English have in interpreting technical discourse because of certain assumptions writers make not only about

what is known of the subjects, e.g. rules and facts of the discipline, but also about what needs to be stated in technical discourse to make it appropriate to a particular audience. What he implies here is that writers on technical subjects for foreign students need to compose a kind of discourse which is somehow simpler, but what needs to be simplified is not just the lexis and syntax of the language but also the way the "content" of the text is presented to the learner.

In addition to these comments Bruton makes an observation about the language of technical discourse:

"In simplifying technical writing, it is often not possible to do very much with the vocabulary you can't call a "dyne" anything else what does appear to be important is that terms should be used consistently. The native writer sometimes tries to avoid repetitions by substituting near synonyms or blanket words. To native readers this presents no difficulty but the foreigner may be misled. Thus in a book on soil management one finds in the same paragraph references to "the root system", "the root" and "the roots". The foreigner might easily assume that three different things are being discussed.....".

(Bruton 1961)

What Bruton suggests here is that consistency of reference should be an aim of the simplifiers of scientific texts. Of course it is assumed here that the students for whom these simplified scientific texts are prepared will not study in a native English speaking context from teachers who are native speakers. Consistency of reference would be harmful and limiting for students who must grapple with native speakers' use of co-reference by synonymy or hyponymy.

Mountford's work (1976) is an attempt to investigate not just the problems of adapting scientific text material but

how discourse features were affected too in the process of simplification. His approach is based on ^{the} distinction made by Widdowson, between "text" and "discourse".

"When confronted with a sample of language... there are two ways in which we might describe it. We may treat it as an exemplification of the language system and point out the incidence of certain linguistic structures and items of vocabulary ... to characterise the sample as a text it is also an instance of use, it communicates something and does so in a certain manner. If we ask the author or the reader to describe the sample he would characterise it as a "description" or a "report" ... etc., these terms refer to the communicative functions of the sample as discourse "

(Widdowson 1974b:29)

He sets out to investigate the manner in which information in four scientific passages is organised in terms of interactive acts/illocutionary acts and how such an organisation of information is modified in the simplified versions. Three basic ways according to which simplification of scientific texts might proceed have been suggested:

1. A simpler science: Simplification implies a reduction in the number of information items in systems of information. It also implies that a greater generality of referents may be necessary, or at least a consistency of reference to the same information items.
2. A simpler text: Simplification implies a more transparent system of lexical cohesion. Anaphoric relationships may be "filled in". This may be linked to a more obvious "theme/rheme" patterning of information distribution and focus. Above all, simplification of text implies breaking up propositions into locutions that are of simple sentence-like constructions, in other words by making propositions approximate to kernel structures, the relationships between which may be explicitly marked by sentence connectors and coordinating conjunctions.

3. A simpler discourse: simplification implies:
 1. a focusing on the activity of communication, that what is being communicated is the way communication is being effected.
 2. making explicit the structure of units of discourse in terms of illocutionary force and interactive acts which may involve realising acts as constituent acts in separate propositions.
 3. a maintenance of the same universe of discourse where the aim of the simplifier is to convey the same or similar information content to readers who are either at lower levels of language competence (e.g. EFL students) or a lower level of 'cognitive' competence (e.g. younger native speakers).
 4. an interpretive strategy, especially where the simplifier is adapting existing textual material for a different audience. What is being communicated is how the writer interprets the original text.

In other words a simpler kind of discourse can be created by explicitly signalling the illocutionary force of utterances, by the selection of acts from within the same universe of discourse, by reducing the complexity of information items, by regulating the complexity of linguistic encoding (in terms of lexical selection, cohesion and syntactic structures) and by explicitly signalling the interactive relationships between propositions.

A recent attempt to discover the principles underlying the simplification of novels is made by Fridriksson (1979). His approach is based on Dakin's analysis of 'Oliver Twist' summarised in Widdowson and Davies (1974:183-195). Like Dakin, he divides his analysis of the original version of Austin's *Pride and Prejudice* and E. Attwood's simplification of it, into three sets of features: lexical, syntactic and situational. The general principles extracted from this

The conclusions reached by Fridriksson (1979) add very little to those reached by Dakin. In fact, it adds very little, in terms of linguistic features, to those reached by West (1950) and Fanselow (1969). Whatever the merits of his work, Fridriksson's conclusions, especially in terms of situational features seem too general and too subjective to be used as a basis for any further analyses. His work however, seems to confirm the fact that a set of objective simplification procedures is needed not only for scientific or literary texts but for every type of text.

1.3 Notions associated with simplification:

The definition of simplification adopted for the purposes of this study is that it is a technique by which a particular piece of writing is made more accessible to learners of limited competence by rendering it less complex or elaborate.

There are a number of terms which have always been associated with the notion of simplification. Identification of these terms, and a definition of their limits of application are due now.

There are two sets of terms:

1. Adaptations and paraphrase.
2. Abridgement, condensation, summary, synopsis, abstract and precis.

The first set operates on the linguistic and propositional content of the original material with the object of fuller and clearer exposition to suit different audiences or different uses; while the second set, on the other hand, operates on the propositional content of the original material with the object of shortening the text, by cutting the unessential details.

1.3.1 Adaptations and paraphrase:

In adapting literary works West (1950) states that,

"in many cases the book is completely re-written, it may be a retelling of the plot as in the case of Robinson Crusoe, or even a modification of the plot as in my version of the Swiss Family Robinson".

Bongers (1947) describes two methods of comparing simplified texts as follows:

1. "The aim of the adapter is to retell the story in his own words. He may merely summarise it Stories from the Arabian Night" may be treated as they are invariably treated in adaptations for children, not rewording of the classical translation in a more familiar language, but retelling of them are shortened to a fraction of the originals".
2. "At the other extreme, the simplifier takes the original and rewrites it in the manner of the translation, taking it almost sentence by sentence and modifying each one needing modification replacing the rarer and more peculiar words and locutions by commoner or more intelligible ones".

(Bongers 1947:88)

Both methods of adaptation are retellings. The distinction he seems to be making is according to the strict adherence to the original in the second case, and the degree of freedom appropriated by the adapter in the first case. There are thus two degrees of adaptations, "loose adaptations" on the one hand which may also involve cutting parts or summarising, and "close adaptation" which involves techniques akin to translation.

Paraphrase is "A restatement of a text or passage in other words to clarify meaning". This paraphrase can involve "expansion" rather than reduction. It is therefore a technique linked more to close adaptations. As West (1950) puts it,

"adaptations demand literary aptitude, while paraphrase involves linguistic skill in rewriting material in a simpler form."

1.3.2 Abridgement, condensation, summary, synopsis, abstract and precis:

Although all these terms refer to a reduction in the volume of the original text, one can, however distinguish abridgement and condensation from summary, synopsis, etc. While the former set involves physical cutting or shortening by scissor work, and the linguistic adjustment to make up for the loss, simplified material is adapted to a new or a special use of the situation (frequently pedagogic). Summary, precis, synopsis and abstract refer to products of such processes which mainly operate on propositional content yet are physically detached from it. Both summary and precis are made after a discourse is complete and form an ending or a looking back in other words. A precis, is a classic pedagogic procedure in language teaching which is separate from the text to which it relates in the sense that it is usually performed by someone else. Abstract and synopsis, on the other hand occur at the beginning, before the discourse to which they are related. They are not always strictly pedagogic.

1.4 Simplification and translation:

Mountford (1976) regards simplification as a special form of intra-lingual translation. This point of view is not new. Bongers (1947) states that,

"The simplifier takes the original and rewrites it in the manner of the translator

(1947:89)

which is supported by Steiner (1975) in his assignment concerning the nature of translation. He asserts that:

"any model of communication is at the same time a model of translation, of a vertical or horizontal transfer of significance ... "

(1975:45)

Simplification then is a conscious technique of interpretive translation from one modality or manner of acting to another

"a redesigning of a pattern of communication"
(1975:47)

This point of view is also supported by Jackson (1959)

"for us both as linguists and ordinary users
the meaning of any linguistic sign is its
translation into some further alternative
sign".

(1959:252)

Translation is thus a reported speech:

"the translation records and transmits
a message from another source. (It)
involves two equivalent messages - two
different codes".

(1959:233)

Simplification however is not concerned with two different codes but with two different deployments or uses of the same code.

Which strategy to employ depends on the nature of the message, the purpose of simplification and the social role of the participants.

Widdowson (1974c) argues that translation can proceed in two other ways than the structural translation of surface forms from one code to another. He then distinguishes two types of deep structures: "semantic deep structure" and "pragmatic deep structure" the first relates to the translation of linguistic properties and the second relates to the communicative properties of a text:

"The setting up of pragmatic equivalents is
a matter of creating equivalent discourse,
the setting up of semantic equivalents creates
equivalent texts".

(Mountford 1976:58-59)

This powerful argument can be deduced for regarding both translation and simplification - sharing as they do similar procedural features - as models of interpretation that lie at the heart of the process of communication. Thus one might

see the whole EFL operation in terms of teaching students to translate, not only in the inter-lingual sense, from mother tongue to foreign tongue, i.e. L_1 to L_2 or vice versa, but in the intra-lingual sense in that material in L_2 is interpreted into simpler or more complex modes of communication within L_2 . However, it is probable that a great deal of inter-lingual translation, in pedagogic contexts where it is not a close translation, involves a degree of simplification in that "messages" are interpreted in L_1 , and re-interpreted in the L_2 employing paraphrasing or summarising of language use. In short, to interpret and through interpretation translate can mean to simplify inter- and intra-lingually, in ways appropriate to particular learners.

1.5 Simplification and reading comprehension:

What we infer from the above remarks on intra-lingual translation is that the notion of simplification applies not only to the production of simplified readers. It also extends into the operation of designing reading comprehension programmes that are appropriate for the level particular students have reached at a particular stage of their course.

The skill of reading comprehension at intermediate, post-intermediate, and advanced stages of EFL learning, is developed largely, though by no means solely, through the presentation of simplified material derived in some way from genuine text material chosen from novels, journals or other material, written for native speakers. This is particularly true where the materials are designed to focus more specifically on learner's special requirements: for example University students who require English for the specific purpose of furthering their knowledge of the subject.

The ultimate aim of such simplified material is to develop a skill so that learners can cope with unsimplified material. Only perhaps at a very advanced level can original material be presented to students in an unsimplified form.

Thus the relationship between simplification and reading comprehension is crucial. Without a clear idea of what constitutes difficulties in reading comprehension, it is not at all clear how simplification should proceed, and consequently what aspects of reading comprehension skill should be focused on to facilitate the transfer of such a skill exercised in the pedagogical environment of simplified texts to our understanding of unsimplified written material.

The following section, therefore, contains an account of some work done on reading comprehension. It discusses only the major factors which contribute to difficulties in comprehension.

1.5.1 The effect of sentence length

It has been pointed out in 1.2 that readability formulae generally assess the readability of a text according to two major factors: the number of "difficult" words and the length of the sentence. Words are considered "difficult" either because they are unusually long in terms of number of syllables, or because their overall frequency of occurrence in the language is low. Sentence length is calculated according to the number of words contained. Such formulae are relatively successful in predicting the level of difficulty of existing texts. However, the assumption that sentence length is itself a factor causing difficulty has been queried by Schlesinger among others, on the grounds that sentence length may correlate with other factors which may be the real causes of reading difficulty (Schlesinger 1968:71-73).

Schlesinger points out for example, that a text composed of short sentences may contain less redundancy than an equivalent text with long sentences and that lack of redundancy may cause difficulties. As another possibility, he suggests that difficult content may tend to be expressed in long sentences.

Schlesinger compared the readability of three texts, differing in sentence length, but containing the same content of information. He found no correlation between sentence length and reading speed, and no significant difference between subjects performance on comprehension questions between the three texts. He concluded that when the content of the texts is held constant sentence length has no effect on readability (p.80).

Rothkopf (1972) has also queried the assumption that structural features such as sentence length are valid measures of readability. In an experiment conducted by himself, Smith and Koether, in which ten paraphrases were used, there was little correlation between structural features and subjects' learning. Rothkopf concluded that content is a more powerful factor in readability.

Rothkopf argues that when adults can proceed at this pace, structural feature such as sentence length have little effect on the amount of information they gain from a text.

1.5.2 The effect of syntactic complexity:

If sentence length is not a factor in readability, other factors must be looked for. An obvious possibility is the syntactic complexity of the sentences in a text. Schlesinger (1968), for example, initially adopted the hypothesis that syntactic complexity caused reading difficulties. In addition to his study there is a large body of psycho-linguistic work aimed at investigating the relative difficulty of different types of sentences and some of the findings will now be discussed.

1.5.3 Psycholinguistic experiments:

George Miller (1962) appears to have been the first to conduct experiments based on the hypothesis that the linguistic structures described by the transformational linguists have psychological reality. Miller found that left and centre

branching constructions, e.g. "The cat the dog chased killed the rat", gave adult subjects to whom the sentences were read aloud great difficulties in recall tests. He explained the greater difficulty of such constructions as compared to right branching constructions, in terms of the greater strain the former impose on the short-term memory.

Miller also hypothesised that sentences which were the result of the application of one or more optional transformations should be more difficult than simple affirmative sentences, and that the application of a 'complex' transformation such as the passive, should result in sentences that were more difficult than those produced as a result of the application of a 'simple' transformation such as the negative. Subjects read sentences arranged in a left-hand column applied particular transformations and then had to find, in a right-hand column, sentences that correspond to the results. Search and writing time were subtracted from total response time, and the remaining time was taken as representing the time spent performing a particular transformation. The results appeared to confirm the syntactic hypothesis that negatives took longer than passives and passive negatives took longer than both.

Miller suggested that sentences are remembered as kernels plus transformational "foot notes". The more footnotes that have to be remembered, the more difficult the sentence will be to recall in its original form. This seems to agree with Howatt's view that structural complexity is having, "to apply a number of rules simultaneously in order to produce a correct sentence". (1974:15)

1.5.4 The effect of semantic factors:

In experiments specifically directed at discovering factors causing difficulty in written texts, Schlesinger (1968) also found that semantic factors seemed to outweigh syntactic factors. He compared the readability of texts containing the same content but differing in that one contained 3

degrees of embedding, (i.e. three parentheses one inside the other), while the other contained 1 degree of embedding or no embedding. The result showed that 3 degree nested texts took longer to read but that there was no difference between 1 degree and 0 degree nested texts. He repeated the experiment using 2,1,0-degree nested texts, and found there was no difference in readability between them. Texts with three degree of nesting are comparatively rare in normal prose, and Schlesinger concluded that nesting had no effect on reading rate and comprehension.

Schlesinger argued that it was useless to attempt to separate syntax from semantics in the decoding process, since subjects could use semantic clues to overcome syntactic difficulty. He compared the readability of nested sentences containing semantic cues with those not containing such cues. The results of the experiment showed that cue-sentences were much easier than non-cue sentences. In another experiment, Schlesinger found that the degree of nesting has a significantly greater effect on readability in the case of non-cue sentences. Schlesinger concluded that "content" may be the chief determiner of readability (p.141).

1.5.5 Pragmatic features affecting readability:

Olsen (1972) argues that grammar is only one aspect of comprehension and that sentences are comprehended relative to a context supplied either by the perceptual situation or by preceding sentences in a text.

Olsen examined the relative difficulty of active and passive sentences in a perceptual context. The subjects, children, were given pictures followed by sentences which they had to verify. Olsen hypothesised that if they coded a picture in terms of 'agent', then they would subsequently find the active sentences easier than the passive, but that if they coded the picture in terms of 'recipient', then the passive sentence would be easier. Subjects were induced to code

pictures in terms of the recipient by being first shown a picture of a truck, for example, and asked to comment on it. They were then shown a picture of "car hitting a truck". When this was done, the passive sentence, "The truck was hit by the car", took less time to verify than the active equivalent.

Pragmatic features affecting comprehension have also been investigated by Branford and Johnson (1972). They emphasise that language is a symbol system and must be related to the knowledge of communicating subjects. They consider that semantic anomaly is:

"largely a function of the degree of which one can relate a sentence to some relevant aspect of his knowledge of the world".

(1972:17)

If sentences are comprehended by relating their content to a previously constructed knowledge structure, then semantic anomaly should arise when the subject has difficulty in generating a suitable context for a sentence. To prove this experimentally, sentences involving casual relationships were used. One group of subjects were given "hard" and "easy" sentences e.g.

Hard : The notes were sour because the seam split

Easy : The account was low because she went to the bank.

The 'hard' sentences proved more difficult to recall than the 'easy' ones. A second group read the same set of sentences preceded by cues, in the case of the two sentences above, "bagpipes" and "withdrawal" respectively. The provision of one word reduced the difference between hard and easy sentences.

When sentences were preceded by either a good cue, a bad cue or a dummy cue then the good cue was most effective, the bad cue produced the worst recall results, and the dummy cue produced results between the two others. For example, in the sentence,

'The steak blocked the light'

the good cue 'window' was most effective in helping subjects, the dummy cue, 'ready' was next and the bad cue "spider" was the least effective.

Although cues were effective with single sentences, they had no effect on the comprehension of extended texts. Thus, giving a false 'topic' in the form of a title, for example, "Reading a magazine at lunch" to a text dealing with "the first space trip to the moon" did not effect comprehension. Presumably a text is capable of generating its own context.

It seems probable, then that syntactic complexity is not in itself a major factor in readability, but is outweighed by semantic and pragmatic factors in the communication context. Olsen argues that a sentence is comprehended relative to a context, and that this context is specified,

"either by perceptual situation or by
preceding sentences"
(1972:140)

It seems obvious then, that while some form of sentence grammar is essential to the process of reading comprehension, it is not in itself enough, and needs to be supplemented by an interpretation of the overall structure of a text. Wardhaugh (1969) remarks that:

"it is not possible to arrive at the meaning
of a text by adding together the meaning
of its component sentences like beads on
a string"
(1969:86)

1.5.6 Overall textual structure:

Writing about the content analysis of propaganda messages

A.L. George says:

"The propaganda intention of an individual communication (and its effect as well) often depends not merely on the explicit content of the individual statements or propositions therein contained but also on the structural interrelationships of these statements within that communication."
(1959:22)

Recently, there has been an increased interest among psycholinguists and others in such structural interrelationships. Bormuth et al (1970), have used inter-sentence relationships such as "Statement-Explanations".

John quit the team. He didn't get to play enough.
as a component in reading tests. Other writers go beyond this. Crothers, for example, states that the proper unit of discourse analysis is:

"an overall knowledge structure, rather
than a set of independent sentences".

(Crothers 1972:247)

Thomas (1968) maintains that:

"the meaning of the paragraph does not
derive simply from the linear sequence
of sentences ... the paragraph gives
meaning to the sentences whilst consist-
ing of them"

(1968:14)

Freedle and Carroll speculate that:

"The structures of discourse can be re-
garded as a ready made plan to help
the reader understand it, be persuaded
by it, or be inspired by it"

(1972:363)

and suggest that psycholinguists turn their attention to the analysis of discourse development and understanding.

Some experimental work on the effect of the organization of a text on its readability has been done by Frase (1972). He tested the hypothesis that when texts followed "structural direction", consecutive items should occur close together in the text, and thus be easier to remember. He compared two orderings of sentence: a "good" order,

A's are B's. B's are C's

and a "bad" one,

B's are C's. A's are B's.

Subjects' recognition scores for both texts were the same, but subjects who had read the good order text did better on inference questions, and tended in free recall to produce correct structural sequence. Frase suggests that the good order taught something about the text structure which acted as a cue for generating appropriate combinations, and that further studies should investigate the effect of different types of relationships between sentences. This in fact is what Urquhart's thesis (1977) sets out to do. The main body of his work is concerned with a series of experiments designed to test the effect on readability of varying the organisation of texts in different ways. Two types of relationships between sentences are mainly investigated in this work. Relationships related to Time and Space organisation which are described as controlled by 'natural' principles of organisation, and rhetorical relationships which are referred to as "logical" organisation principles. As regards the first type of relationships, the experimental results on the whole confirmed the hypothesis that chronologically ordered texts are both faster to read and easier to recall than non-chronological equivalents.

As regards the second type of relationships, the results obtained confirmed the hypothesis that paratactic structures are easier to comprehend than hypotactic structures, which recalls West's idea (1.2) that

"a chain of sentences joined by 'and' or 'but' offers no reading difficulty".

(West 1950)

Hypotactic relationships are signalled primarily by the relative sequential position of sentences and optionally by connectives such as, because, that etc. Such relationships are absent from paratactic structures, while the separate sentences can be linked by 'and' or a 'zero'.

More generally the results appear to provide objective evidence that the selection of a particular form of organization

will result in a text that is in defined ways more readable than could have been the case if another organisation had been chosen.

However Urquhart's approach is only suited for the analysis of texts made up of one or two clause-sentences only, it fails to account for the structure of paragraphs or units of discourse above paragraph level.

The Katz and Brent experiment (1968) which investigates the use of connectives like because, when, and therefore can be viewed as providing a limited amount of evidence that subjects prefer explicit marking of causal relationships. This is odd in the light of Winter's finding that the implicit forms were more common in adult written use. Possible relationship of causability are marked more frequently than other relationships. Possibly, the subjects preferred the relationships in restricted two-sentence texts to be marked whereas in more extended texts there would be more contextual clues and hence less need for marking. It is also possible that explicit forms are more common in the written language than in the spoken form which Katz and Brent collected data.

The informal categories of inter-unit relationships proposed by Urquhart share some similarities with the categories used in Thomas and Augstein (1972). The view held by Thomas and Augstein that recognition of the structure of a text, in terms of the relationships between different units, is a feature of higher level comprehension has influenced the view held throughout Urquhart's work that surface organisation of texts, by making such relationships either clearer or more obscure is a factor in the readability of a text.

Work done at Hatfield Polytechnic.

At Hatfield Polytechnic, E. Winter and his associates have investigated problems of communication affecting students of the institute in such activities as writing reports, and have suggested methods of helping the students overcome these

problems. The main aim of the Hatfield workers is thus a pedagogical one, one major difference to the previous works being that at Hatfield the primary emphasis has been placed on writing rather than reading. Since to some extent the problems involved in writing and reading can be viewed as mirror images of each other, and the Hatfield work has a lot in common with the other studies mentioned in this chapter, a brief account is given here.

After examining students' work, the Hatfield researchers concluded that:

"grammar and punctuation were not the only problems, and perhaps not even the main ones. Equally important appeared to be those of selection of information and the organisation of that material once selected".

(Hoey, 1971:7)

In order to demonstrate this they gave students two tests. In the first, individual sentences were 'jumbled' and had to be reordered. In the second test, the order of sentences in a text were 'jumbled', and the students had to re-assemble the whole text. The second type of test proved harder to complete than the first. Hoey concluded that the tests revealed:

"weakness in selecting correct information and in organising it according to logical principles in a readily understandable order."

(Hoey 1971:8)

A specific weakness revealed by examination of students' normally written work is in the area of "Semantic Clause Relations":

"where a clause relation is roughly how we understand one clause (or sentence) as interpreted in the light of another."

(Winter 1971)

In order to remedy this, a course of training was devised, based on Winter's analysis of clause relations.

Winter's clause relations are of two major kinds which he calls

"Matching" and "Logical sequence"

(Winter 1977)

Matching relationships can be illustrated by Winter's example:

"Religious man was born to be saved: psychological man is born to be pleased."

Here "religious" and "saved" in the first clause are balanced against 'psychological' and 'pleased' in the second clause. The matching in this case is of the "contrastive" type. As sub-types of matching, Winter cites:

"General/particular, hypothetical/real, denial/correction."

(Winter 1977)

The logical sequence type, according to Winter:

"involves a fundamental notion of constant change in time/space"

(Winter 1977)

and includes relationships such as " s_1 so s_2 ".

Functional Analysis

In addition to the analysis of inter-clause relations, the Hatfield workers also made use in their remedial course of a rough description of the likely components of technical reports. Hoey argues that

"all serious communication attempts to give the reader or listener the information that is thought he wants or ought to want"

(Hoey 1971:9)

The information the reader of technical report is likely to want, can be roughly classified as:

1. Situation
2. Problem
3. What is suggested as solution

(p.10)

Although the Hatfield work lacks a framework of definition of learning tasks, it represents an interesting pedagogical application of an analysis of rhetorical inter-clause/sentence analysis, together with a functional description of components of texts, in the general framework of a communicative situation.

1.5.7 Conclusion:

It has been noted from the previous account that formal properties of text (such as lexis and syntax and complexity in terms of clause components) do not appear to be the major factor affecting reading comprehension. Other factors such as content features, pragmatic features and organisation of information in a text seem to be equally important,

"Connection among sentences can be obscured or facilitated depending on the organisation of a text."

(Frase 1972:354)

which agrees with Bruton's earlier comment that:

"What needs to be simplified is not just the lexis and syntax of the language but the way the content of the text is communicated to the learner."

(Bruton 1961:26)

In this sense what we shall be investigating in this thesis is not just the problem of adapting text material but how the communicative value of the text is affected and what model of characterisation can be suggested to account for and describe this. To begin with however we need to investigate what we mean by textual analysis and discourse analysis. This will involve making a number of distinctions in terminology used to describe stretches of written language.

We shall need to do this as a preliminary to a sketch of how simplification of a literary text proceeds. We will then be in a position to postulate a model of discourse characterisation which can be used as an interpretative tool to enable us to make simplifications on a principled basis, principles that are not merely lexical and syntactic restrictions, but are conditions on "content" and communication too.

CHAPTER II

Text Analysis and Discourse Analysis

Until recently descriptions of written language have been confined to the analysis of sentences, their syntactic structures and the transformational relations that hold between them. As a result, simplification of written texts was carried out by replacing words and structures with approximate semantic equivalents in the learner's interlanguage omitting whichever items proved intractable and bringing the language of the original within the scope of the learner's transitional linguistic competence. This was done, it should be noted, mainly intuitively on the basis of experience and common sense.

Vocabulary and Syntax, as was mentioned in Chapter 1, are not the main source of difficulties in reading comprehension. Difficulties caused by content, contextual features and the way different units of information are organised at different levels, are equally important. The ability to compare and interpret sentences is not the only ability we need to communicate and understand the overall structure of texts as Wardhaugh has remarked:

"It is not possible to arrive at the meaning of a text by adding together the meaning of its component sentences like beads on a string."

(1969:86)

Further, one does not communicate by composing sentences in isolation but:

"by using sentences as a means of conveying information, ideas, attitudes and so on."

(Widdowson 1973:69)

Two points have to be emphasised here: First: an analysis of written discourse is required, which accounts for the overall structure of the text and reflects the way in which sentences and larger units interrelate in discourse. It is

also required to account for how language users understand or interpret such communication. Secondly: a set of principled systematically applicable techniques of simplification, based on research and results in reading comprehension programmes, is required if the production of texts for pedagogical purposes is to be based on a coherent set of procedures.

As a first step in this task we need to make certain terminological distinctions in order to specify more accurately what it is we are analysing. We need to distinguish first between use and usage.

2.1. Use and usage:

It is important to notice, to begin with, that the underlying theoretical basis of most development in the analysis of written communication (though this is not always made explicit) is traceable to the concept of register. This notion was developed by Halliday et al (introduced by Firth):

"Language varies as its function varies:
it differs in different situations.
The name given to a variety of a language distinguished according to use is
"register".

(Halliday et al 1967:87)

There is one underlying assumption here: since language in general varies in accordance with the function it is required to fulfil, then it follows that a language in particular must consist of different and distinct varieties. Furthermore, these varieties are defined in terms of their linguistic characteristics as sub-codes of a particular language. As Halliday et al put it:

"It is by their formal properties that registers are defined".

Varieties of a particular language may thus be defined in terms of their "formal properties". These formal proper-

ties are lexical and syntactic features that occur most commonly in the samples of discourse chosen to represent particular varieties. This involves taking samples of actual discourse and breaking them down into their constituent elements according to a particular model of description. What such an analysis can achieve is a "quantitative" statement about the frequency of particular elements. But such an analysis isolates these elements from context in which they occur and function in relation to other items and, therefore cannot indicate the communicative function of particular elements in discourse. In other words, it is an analysis of linguistic forms without regard to their communicative functions. But of course one does not commonly use language in this way in the normal circumstances of daily life:

"One does not manifest the abstract system of language, one at the same time realises it as a meaningful communicative behaviour."

(Widdowson 1975a:3)

In view of what has been said, it would seem helpful to make a distinction made elsewhere in the literature (Widdowson 1975) between two kinds of meaning. Sentences have meaning as instances of usage: they express propositions by combining words into structures according to grammatical rules. This kind of meaning is termed signification. The second kind of meaning is that which sentences assume when they are put to use for communicative purposes. This kind of meaning is called value. Thus, the linguistic items collected in "register analysis" have "signification" as linguistic usage which is part of the language code but have no "value" until they appear in the contexts of communicative use.

2.2 Cohesion of text and coherence of discourse:

The distinctions made above relate to a further distinction made by Widdowson between text and discourse on the one hand and cohesion and coherence on the other (1972, 1974a, 1974b):

"When confronted with a sample of language... .. there are two ways in which we might describe it. We may treat it as an exemplification of the language system and point out the incidence of certain linguistic structures and items of vocabulary: in other words, we can describe its formal properties as an instance of usage. To do this is to conduct a register analysis and to characterise the sample as text. If we treat the sample in this way, however, there are a number of things about it that we fail to account for. In the first place, it clearly does not just exist as usage, as an exemplification of the language system: it is also an instance of use, it communicates something and does so in a certain manner. If we were to ask the author or the reader to describe the sample, the likelihood is that he would characterise it as a "description" or a "report" or a set of instructions or a "story" etc. These terms do not refer to the linguistic properties of the sample as a text, but to the communicative function of the sample as discourse. A register analysis of the sample as text will tell us nothing about these communicative functions of language use".

(Widdowson 1974a:29)

Discourse, therefore, is the "use of sentences in combination" (Widdowson 1973a:66) for certain communicative functions. This is a vague definition which divides into two different, but complementary, ways of looking at language beyond the sentence: one way is to focus attention on the second part of the definition "sentences in combination" and the other is to focus on the first part "the use of sentences".

(It is important to keep these two approaches distinct, though linguistics has recently attempted to conflate them*)

The study of discourse in terms of the combination or interconnection of sentences is, of course, exemplified in the work of Harris. He observes:

"Language does not occur in stray words or sentences but in connected discourse".

(Harris 1952:357)

*The European usage of "text" is to refer to all kinds of complete and coherent stretches of language. (Werlich 1975).

and sets out to discover what the nature of this connection might be by applying his well-tried distributional method. By means of transformational adjustments to surface forms, he is able to establish equivalence classes of morphemes and to show that:

"in many cases two otherwise different sentences contain the same combination of equivalence classes, even though they may contain different combinations of morphemes."

(Harris 1952:373)

He is therefore able to discover a patterning in discourse in terms of chains of equivalences. What he does, then, is to reduce different message forms to make them correspond to a common code pattern. The fact that the variation in the message form may have some significant communicative value is for him irrelevant. His concern is not to characterise discourse as communication, but to use it to exemplify the operation of the language code in stretches of text larger than the sentence. He himself recognises the limited scope of his analysis:

"All this, however, is still distinct from an interpretation of the findings, which must take the meanings of morphemes into consideration and ask what the author was about when he produced the text. Such interpretation is obviously quite separate from the formal findings although it may follow closely in the directions which the formal finding indicates."

(Harris 1952:382)

The notion that an understanding of the nature of discourse as communication may be dependent on a prior formal account is a significant one, pointing towards a fundamental problem in linguistic description which has to do with the distinction made here between the two approaches to the analysis of discourse.

Labov pointed to discourse analysis as being the area of inquiry where such formal primacy cannot be established:

"There are some areas of linguistic analysis in which even the first steps towards the basic invariant rules cannot be taken unless the social context of the speech event is considered. The most striking examples are in the analysis of discourse."

(Labov 1970:206-7)

Since Harris has gone a considerable way in the description of the formal properties of discourse, the question naturally arises as to how he has managed to do this without considering speech events and social contexts at all. The answer is, of course, that Harris conceives of discourse in purely formal terms as a series of connected sentences, whereas Labov is thinking of the way language forms are used to perform social actions:

"Commands and refusals are actions, declaratives, interrogatives, imperatives are linguistic categories - things that are said, rather than things that are done. The rules we need will show how things are done with words and how one interprets these utterances as actions: in other words relating what is done to what is said... This area of linguistics can be called "discourse analysis", but it is not well known or developed. Linguistic theory is not yet rich enough to write such rules, for one must take into account such sociological, non-linguistic categories as rules, rights and obligations."

(Labov 1969:54-5)

Harris' work, though it is well-known, gets no mention, and it is clear that Labov's definition excludes Harris' work from discourse analysis. There seem to be two types of inquiry here, both contending for the same name, so, that a terminological distinction seems to be called for. Investigation into the formal properties of a piece of language such as is carried out by Harris, may be called "text analysis". Its purpose is to discover how a text exemplifies the operation of the language code beyond the limits of the sentence, "text" being roughly defined as "sentences in combination". Changing the name of Harris' kind of inquiry is justified by the fact that he himself seems to use the

terms "text" and "discourse" interchangeably, as in the following quote:

".... the formal features of the discourse
can be studied by distributional methods
within the text."

(Harris 1952:357)

In contrast, the term "Discourse Analysis" may be used to refer to the investigation into the way sentences are put to communicative use, "discourse" being roughly defined, therefore, as the "use of sentences".

Text analysis is exemplified most obviously by Harris. It is also exemplified, perhaps less obviously, in the work associated with Halliday, which comes under the headings of "register analysis" and "grammatical and lexical cohesion". Although "register analysis" is not concerned with the way sentences are connected together in sequence, it falls within text analysis in that its purpose is to define variation of language solely and very significantly in terms of the occurrence of formal linguistic elements:-

"It is by their formal properties that registers are defined. If two samples of language activity from what, on non-linguistic grounds, could be considered different situation-types show no differences in grammar or lexis, they are assigned to one and the same register..
.... "

(Halliday et al 1964:89)

What has to be noted here is the deliberate rejection of the relevance of the "sociological, non-linguistic categories" which Labov represents as having a direct bearing on rules of discourse. Registers are then types of text, not types of discourse, since they are not defined in terms of what kind of communication they represent. The results of a register analysis of a text will be a quantitative account of the frequency of occurrence of whichever formal elements were selected to be counted. It will indicate how the texts concerned exemplify the language code. It

will say nothing about the communicative functions of such formal elements. Furthermore, a register analysis gives no indication at all of what linguistically definable restrictions operate when a text, as opposed to a sentence, is created.

The study of "grammatical cohesion", on the other hand, does have relevance to "text analysis", since it aims to discover the

"characteristics of a text as distinct from a collection of sentences."

(Hasan 1968:24, incorporated in Halliday and Hasan 1976)

This aim is not different from that of Harris whose analysis begins with the observation:

"Language does not occur in stray words or sentences but in connected discourse. Arbitrary conglomerations of sentences are indeed of no interest except as a check on grammatical description."

(Harris 1952:357)

Yet although their aims are alike, their approaches towards achieving them are different. Whereas Harris establishes patterns of formal equivalence, Halliday and Hasan are concerned with the cohesive function of certain linguistic forms. Harris deals with formal elements like equivalence classes whereas Halliday and Hasan deal with such functional notions as "anaphora" and "cataphora". The importance of their work lies in the fact that it indicates how language items take on particular "value" in context. For example the lexical item "iron" stands in relation of hyponymy to the lexical item "metal" in the semantic structure of English, but within a text they may have the "value" of synonymous expressions:

In Engineering it is rare to find iron used in its pure form. Generally the metal is alloyed with carbon and other elements to form a rough iron, steel and cast iron.

This is a simple example of what Halliday and Hasan refer to as lexical "substitution".. It is not always so easy to discover the referential value of items in a text. In the following text, for example, the term "process" does not form a synonymous link with any preceding noun, and the term "ingredient" forms a link with a noun (metals) with which it has no semantic association in the code of the language:

Most alloys are prepared by mixing metals in the molten state; then the mixture is poured into moulds and allowed to solidify. In this process, the major ingredient is usually melted first.

Whereas in the first 'metal' is hyponymous to 'iron' in the second example the reader has to understand a textual omission:

mixing metals = mixing (different) metals

And also has to understand that:

ingredients = elements which form a mixture

which involves

1. Knowing the meaning of individual words
- and
2. Understanding the semantic equivalence relationship between (different) metals mixed and ingredients.

The importance of the work on grammatical and lexical cohesion is that it is a description of the devices which are used to link sentences together to form text. Halliday and Hasan make a distinction between "internal and external aspects of textuality", the first having to do with cohesion, the second with the way language links meaningfully with the situation in which it is used. They speak briefly about the "external aspect of textuality" in terms of "register" and their point seems to be that a piece of language can be recognised as text if its linguistic features can be plotted along num-

ber of situational dimensions in such a way as to assign it to a specific register, even if cohesive links are missing. Similarly, Halliday defines the "textual function" of language as having to do with:

"making links with itself and with features of that situation in which it is used"

(1970a:143)

pointing out that cohesion is only one aspect of the textual function as a whole. This function, says Halliday:

"enables the speaker or writer to construct texts or connected passages of discourse that are situationally relevant."

(1970a:143)

Here "text" and "discourse" are not kept terminologically distinct. Instead of the "external or situational aspects of text or textuality or texture" being associated with discourse, they are here concerned with grammatical cohesion between sentences when they would be concerned with rhetorical coherence of sentences in communication, following our earlier distinction between text and discourse. The distinction between cohesion and coherence brings us to a consideration of discourse. We may take this distinction as the starting point. Labov (1970), as was mentioned before, has pointed out that there are certain rules of discourse which cannot be described without reference to social context. The description of such rules depends on reference to what Hasan calls "external aspects of textuality" or what Halliday calls "features of the situation". Let us consider this example:

1. A Can you go to Edinburgh tomorrow
B Yes I can.
2. A Can you go to Edinburgh tomorrow
B Pilots are on strike.

The first exchange is a cohesive text in that B uses an elliptical form of the sentence "Yes I can go to Edinburgh tomorrow" (ellipsis being one of Halliday and Hasan's cate-

gories of cohesion). In the second exchange there is no cohesion between the sentences which are used. Yet the exchange makes sense: we understand that B is saying that he cannot go to Edinburgh because of the strike. It seems justifiable to claim that the second example is coherent as a discourse without being cohesive as a text. Discourse rules which account for the structural connections between such utterances are explained by Labov:

"Sequencing rules do not operate between utterances but between the actions performed by these utterances. In fact, there are usually no connections between successive utterances at all."

(Labov 1970:208)

Labov is of course thinking primarily of spoken communication here. Written communication of its nature requires a much higher degree of interdependency between cohesion and coherence. But it remains true for both written and spoken media that discourse is characterised in terms of communicative functions and not in terms of linguistic forms.

To conclude, "text" and "discourse" represent two distinct ways of looking at language beyond the limit of the sentence. One approach sees it as "text", a collection of formal objects held together by patterns of equivalences or frequencies or by cohesive devices. The other approach sees language as discourse, a use of sentences to fulfil certain communicative functions which cohere into large communicative units, ultimately establishing a rhetorical pattern which characterises the use of language as a kind of communication. The two approaches are different, but complementary ways of looking at language in use.

In the present study, this duality of text and discourse is taken into account. The linguistic structure is what gives text its cohesion and the rhetorical structure is what gives discourse its coherence. Techniques of exercising the interpretive skill of reading comprehension can be designed to reflect this duality. It follows that techniques

of simplification may be applied both to text as a linguistic unit, a patterning of linguistic usage, and to discourse as a rhetorical unit, a patterning of communicative use of language.

A comparison will now be made between two texts, Chapter 3 (p.48) in Dickens' "Great Expectations" and its simplified version (Chapter 3, p.15). The aim of this comparison is to specify more accurately what it is that is simplified. In other words, this analysis will suggest in an intuitive and ad hoc manner what exactly a formal model of text/discourse analysis is required to account for. In this way the shape of the analysis will be redefined and clarified by reference to a theoretical basis for models of text/discourse analyses, most suited to the purpose of this study. This will enable us to suggest not only that there are interpretive procedures for reading comprehension but also that the same procedures could be employed in reverse when simplified discourse is composed.

2.3 An example of simplification:

The two texts under study will be analysed in terms of paragraphs (complete dialogues will be regarded as paragraphs too), sentences, clauses, phrases and single items. The differences between the two texts can be summarised under two main headings: adaptation and recreation.

2.3.1 Adaptation: involves three processes: deletion, substitution and reordering.

2.3.1.1 Deletion:

Paragraphs:

1. What is most clearly deleted in OV are paragraphs 13 and 14 which express the boy's sympathy for the man's desolation; paragraph 16 which describes the man's manner of eating compared to a dog; paragraph 18 which describes the man's reaction when he heard about the boy's meeting with the young man. Three dialogues are left out too, 8, 10, 15.

2. The first two paragraphs in OV explain the weather conditions at that particular time of the day and locates the place where the events of the chapter take place. In SV however only the first sentence of each paragraph is retained. Together they form the first paragraph in the text.
3. In OV paragraph 18 is a dialogue between the man and the boy about his meeting with the young man and his hearing of the prison guns. In SV however, the part describing the man's state of mind when he heard these guns is left out.

There are some other instances where paragraphs retained their graphical shape yet certain sentences or parts of sentences are cut out. These different structures are left out in SV:

Clauses:

1. ... to which the damp cold seemed riveted as the iron was riveted to the leg of the man I was running to meet.
2. ... for I had been down there on a Sunday with Joe, and Joe, sitting on an old gun, had told me that when I was apprentice to him regularly bound, we would have such larks there.
3. ... Making my way there with all despatch ...
4. ... which I know to be very near the battery, and had just scrambled up the mound beyond the ditch.
5. ... and had a flat broad-brimmed low-crowned felt hat. All this I saw in a moment, for I had only a moment to see it in.
6. ... It was a sound weak blow ... and knocked himself down for it made him stumble.
7. ... stumbling twice as he went and I lost him.
8. In paragraph 7, the parenthetical information des-

cribing the man's activities while he was waiting for Pip was left out:

- "hugging himself and limping to and fro, as if he had never all night left off hugging and limping ... " -

9. Also the information about 'Pip's' evaluation of the man's conditions then is cut out:

"to be sure, I half expected to see him drop down before my face and die of deadly cold".

10. ... more like a man who was putting it away somewhere.. than a man who was eating it.
11. ... while he did so at the mist all round us
12. ... even stopping his jaws
13. - Some real or fancied sound, some clink upon the river or breathing of least upon the marsh, now gave him a start.
14. - .. I indicated in what direction the mist had shrouded the other man and he looked up at it for an instant.
15. - ... and not minding me or minding his own leg which had an old chafe upon it and was bloody, but which he handled as roughly as if it had no more feeling in it than the file, I was much afraid of him again, now that he had worked himself into this fierce hurry.
16. - I told him I must go but he took no notice.
17. - ... muttering impatient at it and at his leg. The last I heard of him, I stopped in the mist to listen, and the file was still going.

Phrases:

1. ... All this time ...
2. ... pretty straight ...
3. ... on the bank of loose stones above the mud and the stakes that staked the tide cut.

The full significance of the deletion of information in the previous examples will be discussed when the semantic struc-

ture of the texts is fully analysed. However, it should be noted that what was clearly omitted are parts which give descriptions and explanations or the narrator's opinion or attitude towards people and objects, while what was clearly retained are parts which give information about events and participants and their location.

2.3.1.2 Substitutions:

This involves substituting lexical items, phrases and complete clauses:

Lexical substitutions

1. A ... It was a rimy morning and very damp
B ... It was a frosty morning and very damp
2. A ... and consequently I had to try back along the riverside.
B ... and consequently I had to turn back along the riverside.
3. A ... and was lame and hoarse and cold
B ... and was lame and shivering
4. A ... feeling my heart shoot as I identified him
B ... feeling my heart jump as I identified him
5. A ... but he left off to take some of the liquor
B ... but he left off to take some of the brandy
6. A ... he was gobbling mincemeat, meatbone ...
B ... he swallowed mincemeat, meatbone...
7. A ... you are not a deceiving imp?
B ... you are not a deceiving little devil?

Substitution of Phrases:

1. A ... If at any time of life you could help to hunt a wretched warmint, haunted as near death and dunghill as this wretched warmint.
B ... If at any time of life you could help to hunt a wretched man, like me.
2. A ... He don't want no wittles.
B ... The young man didn't want any food

Substitution of Clauses:

1. A ... and I was likewise very much afraid of keeping away from home any longer.
B ... Fearing I had stayed away from home too long.
2. A.... I thought the best thing I could do was to slip off.
B ... I slipped off
3. A ... The last thing I saw of him, his head was bent over his knee and was working hard at his fetter
B ... and left him working hard at his fetter.
4. A ... he was already handing mincemeat down his throat in the most curious manner, more like a man who was putting it away ... in a violent hurry
B ... he started eating in a violent hurry.

2.3.1.3 Re-ordering:

The order in which information is given can be changed. In text B for example, Pip's location is made prominent in the sense that it was shifted to a fronted position at the beginning of the sentence while in A this information is expressed in a dependent clause following a statement about the weather at that place.

A: the mist was heavier yet when I got out upon the marshes.

B: On the marshes, the mist was so heavy ...

Not only there was a "thematic" emphasis here but also information in this clause was interpreted in a general (-human) experience frame of reference in text B.

In another example parenthetical information in text A is made prominent in text B by shifting it into a fronted position.

A: ... made a hit at me - it was a round weak blow

that missed me and almost knocked himself down, for it made him stumble - and then he ran

B: ... made a hit which missed me and then he ran

A third example comes at the end of the chapter in "A" where, in the conversation between the man and Pip, Pip pointed to the place, where he met the young man, followed by a description of that man.

A: 'Yonder' said I, pointing; over there, where I found him. ... "Dressed like you, you know, only with a hat

In B on the other hand, this information was permuted:

B: I had seen him just then, dressed like him and having an iron on his leg, and I pointed to where I had met him.

This difference in information order seems to be governed by the need to work with different modes of expression (i.e. one of them is "direct" and the other is indirect speech).

Adaptation as a simplification procedure seems inevitably to involve consideration of how the text develops in terms of propositional content. If information is omitted or reordered, then obviously, the rhetorical relationships and presuppositions between clauses/sentences are altered too, which results in an alternative sequence of information being "created".

2.3.2 Recreation:

There are two points that will be considered in this section: Firstly, the way in which semantic notions of text A are generalised (and summarised) in text B which involves reinterpreting the information in text A and selecting the information thought to be most important and appropriate in obtaining a similarly coherent text. Secondly, the way in which each text deals with dialogues. Text A reports the

observations and experience made by the narrator (who is also the prominent participant "Pip"). This "report" in text A is interpretable in the sense of "I described to you what I saw". The report of text B, however, is a report of what the writer has read in the sense of "I recount to you what I had read." Therefore, dialogues in text B are, in a general sense, reported speech.

Thus, although both texts contain similar uses of language for example, both contain statements of identification or description and both give an account of events, etc., yet both texts contain different linguistic expression of similar information.

Here is an example of a dialogue between Pip and the man, in text A which is reported in text B:

A Pip: I am afraid you won't leave any of it for him,
said I timidly - after a silence during which
I had hesitated as to the politeness of making
the remark. "There is no more to be got where
that came from". It was the certainty of this
fact that impelled me to offer the hint.

the man: "Leave any for him? said my friend, stopping
in his crunching of the pie crust."

Pip: "the young man. That you spoke of. That was
hid with you."

the man: "Oh yes, He don't want no wittles."

(p.51)

B I told him that I was afraid he would not leave
any of it for the young man. He told me
that the young man didn't want any food.

(p.16)

In text "A", the narrator is not only personified, but also is the most prominent participant in the story and he is the

one from whose point of view the story is narrated, always represented in the first person pronoun "I". In text "B" on the other hand, although the simplifier tries to represent a similar version of the original text and therefore represents the story from Pip's point of view, yet the reported speech in terms of effect of what is said indicates that it is a second-hand - experience - representation of the original text. It has been noted that in most of the cases where 'direct speech' was reported in the way shown above, this was accompanied by another operation deletion. This operation involves reinterpreting the text first and selecting certain items of information to be reported. In the example quoted only the underlined parts are reported while the rest of the dialogue is deleted.

Another operation which involves both reinterpreting and selecting of information items (which also includes deletion) is summarising. An example of this can be seen by comparing paragraph 16 in text "A" and the first sentence in paragraph 8 in text "B":

A: "I had often watched a large dog of ours eating his food; and I now noticed a decided similarity between the dog's way of eating and the man's. The man took strong sharp sudden bites, just like the dog. He swallowed, or rather snapped up, every mouthful, too soon, and too fast, and he looked sideways here and there while he ate as if he thought there was danger in every direction, of somebody's coming to take the pie away; He was altogether too unsettled in his mind over it, to appreciate it comfortably, I thought, or to have anybody to dine with him, without making a chop with his jaws at the visitor. In all of which particulars he was very like the dog."

(p.50-51)

B: "As he sat greedily and fruitively eating
the pie.... "

(p.16)

The paragraph in "A" sets out a comparison between the man, the way he eats, and a large dog which the narrator is familiar with. While in "A" this comparison is expressed in a paragraph, in "B" the comparative element, i.e. the metaphor illustrating the man's manner of eating, is eliminated, and the whole paragraph was reduced to a dependent clause at the beginning of paragraph 8.

Clearly, operations such as deletion and summary not only involve interpretation of content but also selection of information thought by the simplifier to be more important or crucial to create a coherent text suitable for his readers. It should be pointed out here that the simplifier has his foreign adult reader/learner in mind all along and it is possible that he considers such vivid descriptions and dramatic details as there are in the original version to be a hindrance for such a learner on the assumption that they constitute difficult material for him at this stage while adding little to the narration itself.

The original writer, Dickens was addressing his narrative to a wider variety of native-speaking-readers, namely, the British public, and did not need to be so selective.

Finally it is noted here that re-structuring clauses and sentences in order to clarify the "content" development in text B, involves eliminating certain anaphoric elements which refer to deleted information and also involves providing cohesive ties where necessary, there is an example for illustration:

A: (I was very much afraid of him again, now that he had worked himself into this fierce hurry),
and I was likewise very much afraid of keeping away from home any longer. (I told him I must go but he took no notice), so I thought the

best thing I could do was to slip off. The last I saw of him, his head was bent over his knee and he was working hard at his fetter ...

B: Fearing I had stayed away from home too long. I slipped off and left him working hard at his fetter.

2.4 Conclusions:

What has been done so far is to identify, in an informal way procedures that seem to typify the differences between the two texts. The simplification procedures involving both adaptations and recreations include "transformational" procedures on syntax and lexis. Simplifying lexis involves the substitution of "simpler" for "more difficult" items. Although this begs the question at this stage as to what constitutes simplicity or difficulty. It seems that in practice, expressions which replace those in the OV are those expected to be known which usually turn out to be superordinate to, or less context specific expressions for, those in the OV. Simplification of lexis also involves the standardisation of certain expressions and the straightforward deletion of expressions regarded as unnecessary.

Simplification of syntax seems to involve a process of detransformation in which complex sentences are broken up and restructured into compound sentences. It also involves cutting out elements within sentences and clauses such as subordinate clauses, adverbial clauses or clauses which operate as part of a prepositional phrases. Few adverbial and nominal phrases are also left out. Syntactic changes also result in tense relationships being standardised and cohesive ties being provided.

It has also been noted that some parts of the text are re-interpretations of the semantic notions of the original. While the reorganisation of clauses, sentences and larger "information chunks" has affected their relationships and

results in an alternative sequence of information being created.

The overall effect is to create a discourse, text B that is, to some extent, within the same universe of discourse as text A, yet "simpler" in terms of linguistic expression and information "content".

Our discussion however, of the differences between these two texts highlights our need for both text and discourse analysis. A method of text analysis needs to deal with structures within the limits of the sentence including lexical items and cohesive devices. Whereas a method of discourse analysis needs to be able to define units of information on different levels, higher than the sentence and to account for their function within that particular type of discourse. It also needs to account for the overall structure of the text and the rhetorical relationships that hold between its constituents on different levels.

In addition, it needs also to account for the criteria according to which certain items, sentences and larger units are "selected" and retained during simplification process while other are not.

The results of such analyses may not be dissimilar from what we have already said but the warranty for our analyses will be established in more formal terms together with some explanatory authority. This will help us to suggest simplification procedures that are grounded on sound analytic principles.

CHAPTER IIIBackground to Discourse Analysis:

In Chapter II discourse analysis was distinguished from text analysis. The former involving explanation of the communicative function of sequences of utterances, the latter formulation of the linguistic properties of sequences of sentences or texts. This Chapter will examine how different approaches to discourse analysis might be ordered into a general scheme and also how far these possible approaches have direct bearing on the analysis of simplification.

3.1 Points of departure:

It may be useful to make a broad distinction between two general methodological approaches to the description of discourse. One takes instances of discourse as the starting point and makes statements about how they are structured as units of communication of one sort or another. The other takes the sentence as its starting point and investigates its potential for generating discourse. The direction of the first approach is from communicative function to linguistic form, and the direction of the second is from linguistic form to communicative function.

The first of these approaches has a long history. It is exemplified in literary criticism, in studies of the structure of myth (e.g. Levi-Strauss 1958) and folktales (e.g. Propp 1972). What distinguishes the work done within this general discourse-based approach is the extent to which the analysis relates its findings to actual linguistic expression, in other words how close they get to common grounds with the sentence-based approach. Sometimes, the gap is very wide. For example, Propp (1972) discusses certain thematic constants in fairy stories and isolates the following motif: A sends B on a search and B departs. This underlying theme can be realised in different stories in a

variety of different ways, as, for example in the following variants:

1. The King sends Ivan to find the princess.
Ivan leaves.
2. The blacksmith sends his apprentice to find
the cow. The apprentice leaves.

Propp is essentially interested in the events recorded in different tales and tells how they can be linked to a general theme, but the linguistic expression of these events is not his concern. The analysis of Powlinson (1965) on the other hand, moves much closer to common ground with the sentence based approach. He considers how the theme of a particular folktale is expressed through paragraph organisation and how different linguistic forms take on particular value as elements of discourse structure.

One general approach to discourse analysis, then, begins with instances of discourse, with actual data, and moves towards linguistic units to the extent that this appears to be necessary for the purpose of the description. The second approach moves outwards from the sentence, and deals not with linguistic expressions as realised in discourse but with the abstract potential of linguistic forms. For example, in more recent work in sociolinguistics, there is close examination of the function in discourse structure of specific constituent utterances (e.g. Sinclair and Coulthart 1975, Labov 1972, Turner 1974) but these are studied from the point of view of their contextually determined function in the discourse. The second approach on the other hand, begins with the sentence as an abstracted isolate and represents discourse function as in some sense realisable from a meaning potential within the sentence itself. So whereas in the first approach the focus of attention is on the context in which linguistic forms occur and which provides them with communicative value as utterances, in the second approach the focus of attention is on the potential meanings of linguistic forms as elements of the language system having implications of utterances.

To illustrate this difference of approach one might consider the following instances:

Is someone laughing?

If we consider this as a sentence, we will note that it is interrogative in form and suggest that its meaning potential is that it can function in discourse as a question, or request for information. If, on the other hand, we consider this as an utterance in a particular context, then we need to take into account the circumstances under which it was produced in order to interpret its realised meaning as an element of discourse. Thus Sinclair and Coulthard (from whose data this utterance is taken) point out that in the context of the classroom there is a procedure for interpretation which can be expressed as follows:

"Any declarative or interrogative is to be interpreted as a "command to stop" if it refers to an action or activity which is proscribed at the time of utterance."

(Sinclair and Coulthard 1975:32)

An application of this procedure has the effect of neutralising the meaning potential of the interrogative sentence and of realising the value of this utterance as a command. The utterance would have exactly the same value, according to this interpretive procedure, if it had taken the form:

someone is laughing

The point here is, then, that there is no one-to-one correspondence between the linguistic forms and their communicative values as utterances in context. Discourse meanings are to some extent unpredictable from mere surface structures. At the same time they cannot be entirely unpredictable: the relationship between form and function is not purely arbitrary, or otherwise there would be no linguistic basis for communication at all.

A sentence based approach to discourse would investigate what it is about this example as a sentence which allows for vari-

able interpretation, and would go beyond the straightforward interrogative-form/question -- function correspondence for search of more subtle features of meaning potential. The fact that context overrides the meaning associated with sentence function does not mean that one cannot fruitfully explore this meaning, which can be said to constitute the essential potential for meaning which is realisable in context, even if not actually realised on every occasion. Whether one looks at discourse from the point of view of the potential value of sentences or of the realised value of utterances, one has to go beyond the surface appearance of linguistic forms.

3.1.1 The sentence as the point of departure:

In this section, discourse analysis will be looked at from the sentence-based point of view.

With certain kinds of sentence, the overtly expressed proposition carries with it an additional covert proposition as a necessary concomitant. This second, covert proposition is said to be presupposed. The relevance of presuppositions to discourse analysis is clear when we consider an exchange like the following:

- A. when did Arthur arrive?
- B. At ten

The utterances of A and B are cohesive because a formal linguistic link can be established between them by involving the presupposed proposition "Arthur arrived":

- A. when did Arthur arrive?
- B. (Arthur arrived) at ten.

Presuppositions can be seen as relating also to certain sentence constituents. Fillmore (1971) discusses what he refers to as "verbs of judging". Speaking of the verbs "criticise" and "accuse". Fillmore makes the following comments:

"Uses of the verb "criticise" presuppose the factuality of the situation, but not so for "accuse". Consider the two sentences:

- a - I accused Harry of writing an obscene letter to my mother.
- b - I criticised Harry for writing an obscene letter to my mother.

With "accuse", there is no presupposition that such a letter was ever written, with "criticise" there is."

(Fillmore 1971:283)

In other words "accuse" is non-factive and "criticise" is factive. If Fillmore is right, then this again has implications for discourse. The following, for example, would be considered to form a cohesive sequence:

"I criticised Harry for writing an obscene letter to my mother. He sent it last week by express delivery."

But if we replace "criticise" with "accuse", the sequence of the sentences would, according to Fillmore, be unacceptable as discourse:

"I accused Harry of writing an obscene letter to my mother. He sent it last week by express delivery".

In these cases, the presuppositions might be attached to the proposition context of the sentence. It remains the same even if an alternative surface form is used. Thus, the following can be said to be "stylistic" variant of the same underlying structure:

Arthur condescended to mow the lawn yesterday.

It was Arthur who condescended to mow the lawn yesterday.

In both cases, there is a presupposition that Arthur mowed the lawn yesterday. There are different presuppositions, however, attaching to the different linguistic forms whereby this proposition expressed. Thus the second but not the first presupposes that someone was thought to have condescended to mow the lawn and that the someone in question is not

Arthur. Whereas the first could be used to initiate a discourse since it presupposes no previous interaction, the second could not, since it presupposes that the subject of lawn mowing has already been introduced in some way into the preceding conversation.

Halliday (1967/1968) discusses presuppositions of this kind under the general heading of what he calls "theme". He points out that a sentence like:

"The one who discovered the cave was John"

is associated with the current proposition that "someone discovered the cave," but that a 'thematic' or 'stylistic' variant like:

"What John discovered was the cave"

is associated with the current proposition that "John discovered something". As before, it is noted that it is these covert presupposed propositions which control whether or not a sequence of sentences makes cohesive discourse. Halliday points out, for example, that the following pair of sentences does not form cohesive links:

Nobody else had known where the entrance
to the cave was situated. What John discovered was the cave.

If we select the other variant however, the two sentences do constitute a cohesive combination.

No one else had known where the entrance
to the cave was situated. The one who
discovered the cave was John.

It was because these different forms carry different presuppositions of this kind that Halliday rejects the notion, common among transformational generative grammarians, that the variation in meaning among surface forms is in some sense less important than meaning distinctions that can be accounted for in deep structure. In transformational-generative grammar such as is exemplified by Chomsky (1965) the two sentences

cited would be represented as ultimately relatable by transformational operations to the same deep structure:

John discovered the cave.

In this respect they would be considered to have the same meaning, that meaning being conveyed unchanged from the deep structure by different transformational rules. In this view, transformations are devices which are employed to show that two structurally different forms are expressions of the same meaning and their surface differences are insignificant.

"... transformations cannot introduce meaning-bearing elements."

"... the only contribution of transformations to semantic interpretations is that they interrelate phrase-markers."

(Chomsky 1965:132)

If we adopt Halliday's view, however, transformations appear in a different light. They can be seen as devices where propositions, expressible in their simplest form as sentences of the kind just cited, can be structurally organised so as to acquire the presuppositions which are appropriate for particular contexts of use. They are thought of as means of differentiating rather than preserving meaning, as a way of 'preparing' deep structure propositions for actual communicative operation.

Halliday's discussion of "theme" relates to those transformations which transpose sentence constituents. But other kinds of transformation can also be considered as a way of preparing sentences to function as elements in the discourse. We might briefly consider embedding transformations. The following pair of sentences can be regarded as alternative outputs from the same deep structures:

1. Arthur went to the table and picked up the book that was open.
2. Arthur went to the table and picked up the open book.

Both of these can be related to a deep structure, the relevant part of which may be as follows:

Arthur picked up the book, the book was open.

But although both sentences can be said to express the same proposition, they clearly carry different presuppositions. The first, for example, presupposes that there was more than one book on the table and the second carries no such presupposition. Thus if the first were to be followed by a sentence which is related to the covert proposition, we would be able to infer a cohesive connection:

Arthur went to the table and picked up
the book that was open. He paid no
attention to the others.

Here we are able to provide the expression "the others", meaning "the other books". We cannot do the same, however, with the following:

Arthur went to the table and picked up the
open book. He paid no attention to the
others.

In this case, we have no way of realising the value of the expression "the others" as referring to books. We would most likely assume that it refers to other people who happened to be near the table at the time.

These examples are enough to show the rhetorical function of these transformational rules and to regard them as devices for preparing propositions for discourse function by creating appropriate presuppositions.

Both the proposition and the manner in which this is fashioned, the different sentential forms which may be used to express it may carry presuppositions, which can serve to project meaning from one sentence to another so as to establish cohesive relations. One of the difficulties about using presuppositions to understand how discourse works is that they are not always reliable (since at least in the written language sentences are often ambiguous with regard to what is new and what is given in

the information they contain.) Before considering this however, the question of the illocutionary force attaches to propositional elements of sentences is discussed.

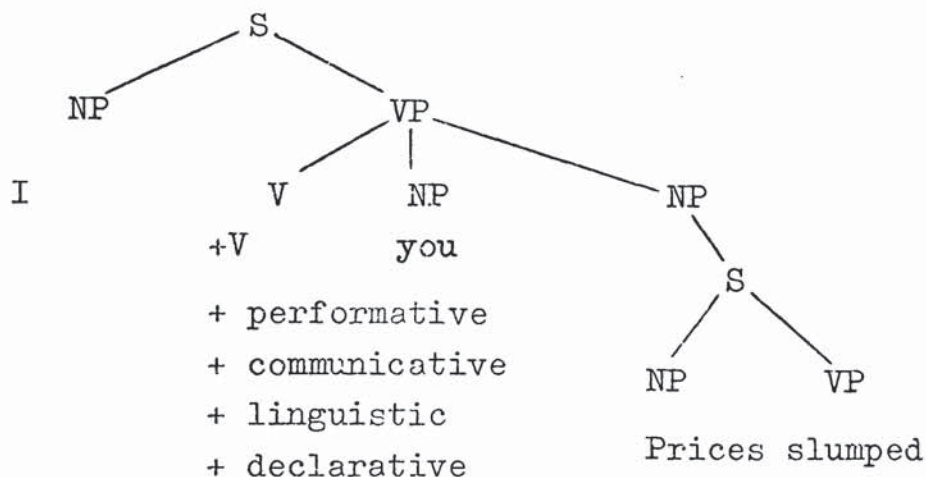
Ross (1970) suggests that the model component of the deep structure of sentences can be extended to incorporate an indicator of their functions. He suggests that underlying the surface form:

prices slumped

There is a deep structure:

I inform you prices slumped.

and he suggests that this may be formalised in something like:



The features specified for the verb here could be extended to include the kind of conditions discussed in detail in Searle (1969). As expressed in Searle, these conditions are independent of the linguistic form which the sentence takes. But as Fillmore observes:

"An important fact that is typically omitted from a philosopher's record of the set of happiness conditions of a sentence is that the various conditions are separately related to different specific facts about the grammatical structure of the sentence. For example, from the fact that the form of the sentence is imperative, we infer those conditions that relate to the speaker-addressee-relationship; from the presence of the definite article, we infer the understanding that

there is some mutually identifiable door, to which the speaker is referring; others are inferrable from the ways in which we understand the verb "shut".

(Fillmore 1971:276)

From this point of view, illocutionary force is not a separate feature of an utterance to be associated with the proposition expressed, but derives from the proposition itself, as the realisation of its "meaning potential".. The expression "meaning potential" is taken from Halliday, who has consistently taken the view that understanding of the social function of language is a prerequisite for an understanding of linguistic structure. In his view one does not first isolate the abstract system for detached study, and then one sees how it works in a social context for the purposes of communication; rather one looks to purposes of communication to explain the system:

"Grammar is the level of formal organisation in language, it is a purely internal level of organisation and is in fact the main defining characteristic of language. But it is not arbitrary. Grammar evolved as "content form" as a representative of the meaning potential through which language serves its various social functions. The grammar itself has a functional basis."

(Halliday 1973:98)

In Halliday's work we find an attempt to formalise the kind of conditions which Searle talks about into semantic networks which represent sets of options available to the language user. These networks mediate between social situations and sets of linguistic expressions derivable from systems within the grammar. Thus the illocutionary force of a particular utterance is seen to be a functional reflection of its intrinsic linguistic form.

Proceeding towards discourse from starting point of the sentence then involves a consideration of: firstly, what is presupposed by the proposition expressed by the sentence, which can be accounted for in the formulation of its deep structure: Secondly what is presupposed by the manner in

which the proposition is organised as a surface form by different transformational operations; and thirdly what illocutionary act the proposition or a particular manner of expressing it is used to perform, which can be accounted for by specifying different conditions or semantic networks and seeing how these are realised by the elements in the proposition, or by the particular form of the sentence that expresses it.

A study of these factors, of the "meaning potential" of sentences, treating these not simply as abstract linguistic forms but as communicative resource, leads us to the study of language in its context from a linguistic base, i.e. the sentence.

We have now to consider the second orientation to discourse analysis that was mentioned above: that which takes actual instances of language use.

3.1.2 Discourse as the point of departure:

The sentence-based approach to discourse described in the previous section does not exhaustively describe actual data, it is concerned with the potentiality in the language system for the realisation of discourse, i.e. with the communicative capacity of the system. But although one might associate a particular meaning potential with a particular linguistic form, this potential might not be realised or the form might take on a different and unpredictable communicative value because of what has preceded in the discourse or because of the circumstances of the utterance. An example of such contextual conditioning from Sinclair and Coulthard (1975) was briefly discussed above. Here is another example:

Arthur condescended to mow the lawn yesterday

If we consider this sentence out of context, it may be agreed that there is a presupposition here that Arthur did in fact mow the lawn. But this presupposition can be changed by what follows in discourse:



Arthur condescended to mow the lawn yesterday.
But just as he was about to begin the Browns
arrived.

there the presupposition latent in the first sentence is cancelled out by the second sentence, it is understood here that Arthur did not mow the lawn after all.

The interpretation of discourse then, is not simply a matter of receiving the presuppositions attaching to individual sentences as they appear in sequence. The linguistic context in which they occur and the extra-linguistic context of utterance, create presuppositions of pragmatic kind which can override those associated with linguistic forms.

It would seem, however, that how elements of discourse relate is only partially dependent on what is stated and presupposed in the individual sentences that comprise it. It is quite possible for two items of language to be completely unrelated as sentences and therefore to exhibit no cohesion, but to be closely related as utterances in context and therefore exhibit coherence as discourse. Here is an example:

We will have guests for lunch. Calderon was a
great Spanish writer.

If we consider these two as sentences, there is no way in which semantic links of cohesion between them can be established. If we however, consider them as utterances, i.e. as actual instances of language use, there is a difficulty in conceiving of a context in which they would make perfectly good sense, where they would combine to form a coherent discourse. One could imagine a situation, for example, in which a group of people were in the habit of inviting guests for lunch to discuss the work of great writers. A lunch has been set aside to discuss Calderon, but then there is some dispute among the organisers as to whether Calderon merits the title of "great" and after some debate it is concluded that he does, so the lunch can go forward as arranged. In this context of situation, these sentences could be used with complete good sense. In this case, con-

textual conditioning creates relationship which is absent from the sequence of sentences considered in detachment from a context.

Although context may condition meanings, to provide a relationship between utterances which is not derivable from the meanings of the individual sentences, it is important to note that the context itself does not create this relationship. It is the language user who makes sense of the language by reference to those features of the circumstances of utterance which he judges to be relevant. He does this by recognising what it is in the sentence and in the linguistic and extra-linguistic context in which it occurs that realises the conditions whereby it takes on a particular communicative value.

Confronted with an instance of language, one can immediately engage in certain interpretative procedures which enable us to make sense of it. One of these procedures takes the form of an assumption that when somebody says something, what he says is meant to be informative and relevant (Grice, 1975). Thus, when one is presented with two apparently disconnected sentences as in the example above, one proceeds on the assumption that the information expressed in the second sentence must be relevant in some way to that in the first. If this relevance is not signalled by linguistic clues, so an extra-linguistic situation is created which will supply the deficiency.

To consider another example, two people (A and B) are in a room and A says to B:

A: The door is open

The fact that (B) can see for himself that the door is open makes his remark redundant as information. Consequently, since the utterance is not informative as a statement, B assumes that it must be relevant as another illocutionary act and he investigates whether the situation of the utterance provides for the realisation of the necessary conditions. If for example the conditions for an order are

recoverable from the situation, then B's reaction will be to close the door: if the situation can be seen as realising the conditions for "a warning", so B's reaction will be to stop talking or lower his voice*. If B cannot find the relevant conditions he might say:

B: So what?

If B sees that A might regard the conditions for an order as obtaining in the situation but B does not, then B can make it clear that he does not accept it, by signalling non-cooperation:

close it yourself

This example refers to the kinds of conditions represented in Searle's type of analysis of illocutionary acts. These conditions represent the language user's knowledge of rules of use in abstract. What Searle does not concern himself with is the manner in which such rules are put into operation for the production and interpretation of actual discourse, by means of the kind of procedures discussed above. Labov (1969 and 1972) specifies conditions of similar kind but also considers how they are realised in contexts of actual use. He takes this instance of discourse as his starting point:

A: Well, when do you plan to come home?

B: Oh why?

There is no formal relationship between these two linguistic units as sentences. To understand what is going on here, we have to know about the extralinguistic circumstances. These are as follows:

"We must be aware that A is a college student, and that B is her mother, that B has been away for four days helping a married daughter, that A and B has said many times in the past that A cannot take care of herself which A denies."

(Labov 1972:255)

*If the situation can be seen to provide conditions for a "request" then B's reaction will be to turn the heater on.

One's interpretation of this interaction depends on seeing how this situation realises the conditions which have to be met for a particular illocutionary act to be performed. Labov states these conditions as follows:

If A requests B to perform an action X at a time T, A's utterance will be heard as a valid command only if the following preconditions hold:

B believes that A believes that:

1. X needs to be done for a purpose Y.
2. B has the ability to do X
3. B has the obligation to do X
4. A has the right to tell B to do X.

Given these conditions, one's task is to see whether the situation can be seen as one which can realise them. If so, then A's question is interpretable as a request for action, a kind of mitigated command, which might be alternatively phrased as something like:

A: come home, please.

The question is: does B interpret A's remark in this way? According to Labov, she does, and her question is directed to the first of the conditions specified above: she assumes that the other conditions hold but wants a clarification of the first condition (or an admission that A is helpless without her mother). Her question might be rephrased as:

B: why do I need to come home?

B's interpretation derives from a procedure whereby she realises the value of A's utterance in relation to the conditions in the following way:

"If A makes a request for information of B about whether our action X has been performed, or at what time T, X will be performed, and the four preconditions hold, then A will be heard as making a request for action with the underlying form B: do X."

(Labov 1972:256)

If this interpretation is correct then A's next utterance should provide the information that B is covertly requesting, it should also focus on the first of the conditions. In fact in the data which Labov is considering this is what comes next:

A: Well, things are getting just a little too much. It's just getting too hard.

What has to be noted is that A is not simply providing information, her utterance is not only informative but relevant to the request she is making. Her utterances are both in response for B's request for information and at the same time a repetition of the request by focusing on one of its defining conditions. She makes use of the following procedure:

If A has made a request, and B responds with a request for information, A reinstates the original request by supplying that information.

Throughout this exchange we can see a kind of negotiation whereby the two participants employ a variety of procedures to interpret each other's utterances by reference to their common knowledge of the situation and the rule of use associated with making a request for action.

Thus Garfinkel (1972) points out the importance of understanding what he calls the "practical reasoning" which language users employ in making sense of linguistic activity the process which:

"consists of various methods whereby something that a person says or does is recognised to accord with a rule."

(Garfinkel 1972:315)

According to Garfinkel, it is not enough simply to specify rules, one has also to explain how the rules are actually used:

"In order to describe how actual investigative procedures are accomplished as recognisedly rational action in actual occasions, it is not satisfactory to say that members

invoke some rule with which to define the coherent or consistent or planful, i.e. rational character of their actual activities."

(Garfinkel 1972:322)

To illustrate this we might consider some remarks made in Garfinkel about Dressler's (1970) concern with what he calls "semantic deep structure of discourse grammar". Dressler presents this example:

I walked through a park. The trees were already green. In a beech there was a beautiful woodpecker.

He then comments on it as follows:

"This is well-formed discourse because a semantic coherence or more precisely because of semantic anaphora which holds between the semantic components of the lexical items: "park", "tree" and "beech".

(Dressler 1970:205)

The implication of Dressler's statement is that coherence is a quality of discourse itself which the reader simply recognises by reference to the rules at his disposal. From Garfinkel's point of view, the discourse is well-formed because the reader makes it so by working out the relationships between the parts, by realising how the semantic links which exist between the lexical items mentioned are relevant to the interpretation of this particular discourse.

The difference between these two perspectives on the analysis of discourse can be referred to the two points of departure for discourse discussed above. The first examines the meaning potential of sentences as a capacity for generating discourse structures, and the second examining procedures whereby discourse is actually realised.

3.2 Linguistic rules and discourse procedures:

From the previous discussion a distinction emerges between the rules that people can be said to know in the abstract and the procedures which they employ in applying these rules.

in the production and interpretation of actual instances of discourse. Broadly speaking, a sentence-based approach to discourse will tend towards an account of discourse which focuses on rules to the relative neglect of procedures, whereas a discourse based approach will tend towards an account which focuses on procedures, to the relative neglect of rules. It has been argued that a satisfactory approach will have to take both rules and procedures into account. To illustrate this point an example will be given from Sinclair and Coulthard (1975). In their system of analysis, a number of "acts" are defined of which the following are examples:

- directive : realised by imperative. Its function is to request a non-linguistic response.
- clue : realised by a statement, question, command, or moodless item. It functions by providing additional information which helps the pupil to answer the elicitation or comply with the directive.

(Sinclair and Coulthard
1975:41)

In the case of the "directive", there is a correspondence between the meaning potential of the imperative sentence and its realisation in discourse as a directive act. Thus the rule specifying meaning potential can be directly drawn upon in the procedure for interpreting an utterance as a directive. In the case of the "clue", however, there is no similar linguistic rule that the language user can refer to. He has to make sense of the utterance by relying entirely on the context of its occurrence, and to work out whether what is said can be seen as counting as additional information or not.

These definitions of different acts pose a problem. It will be noticed that the "directive" is said to be realised by a kind of sentence: the imperative, whereas the "clue" is said to be realised by a number of illocutionary acts including a

command. It is not clear from the discussion in Sinclair and Coulthard (1975) whether they mean that a "clue" is realised by a command which is realised in turn by an imperative, or that the utterance functions as two acts at the same time, and if so how these two acts, clue and command are to be distinguished.

Widdowson (1978) makes a distinction, which is relevant here, between two types of communicative activity. One relates to the way in which the propositions that are expressed in a discourse are organised, and how the interaction is negotiated between participants. This activity is carried out by the performance of what Widdowson calls "interactive acts". Thus, the initiation of an exchange, the prompting of a reply, the introduction of a topic all are interactive acts: they create discourse structure by organising its propositional content and they are defined internally by reference to their structural function. The acts discussed by Sinclair and Coulthard are essentially of this type. But illocutionary acts of the kind discussed in Searle (1969) and in Labov (1972) (although from another point of view) are different. They are defined independently of their structural function in context, although the context must provide for the realisation of the conditions which must be met for them to be effectively performed. Illocutionary acts are essentially social activities which relate to the world outside the discourse, while interactive acts are essentially ways of organising the discourse itself and are defined by their internal function. To illustrate this distinction here is an example:

- A : Doorbell
- B : I'm in the bath
- C : O.K.

If one is to consider this from an interactive point of view, one might say, in the manner of Sinclair and Coulthard, that it is an exchange which consists of three moves, opening, answering and following up respectively, and that the first

of these moves is expounded by a single act, a directive, the second by a reply and the third by an accept. In describing the exchange in this way one gives an account of its interactive structure. But, as Widdowson (1978) suggests, this is only a partial account of what is going on. If one assumes that A and B know that the ringing of the doorbell is audible to both of them then, as was discussed in the example above, B will recognise that A's utterance is not informative. He will then realise that the situation and conditions (discussed before) obtain for A's utterance to count as a request for action. B's utterance can now be interpreted as an indication to A that one of these conditions does not obtain. The illocutionary force of his utterance, therefore, is that of offering an excuse for not complying with what he understands to be A's request. Now A's next remark can be interpreted as an acceptance of B's excuse.

The situation in this example is not unlike that between the mother and the daughter discussed by Labov and referred to earlier. Thus B's utterance can be interpreted as having both the interactive value of a reply and the illocutionary value of excuse. A problem arises here from this dual function, as to whether there are other acts which have similar dual functions and in general whether we can find some principled way of associating interactive and illocutionary functions. Or whether perhaps "reply" and "excuse" should be seen as operating on different semantic/rhetorical levels.

Another problem in discourse analysis is to do with the relationship between procedures which result in immediate interpretation and those which result in selective interpretation. The procedures of interpretation discussed so far are concerned with immediate interpretation. That is to say they have to deal with the processing of meaning, utterance by utterance, as it emerges in sequence in the discourse. But interpretation also works on a more selective level. Some of the meanings one takes in as one listens or reads are almost immediately discarded, as not having a longer term relevance: their function is to facilitate communication

or to provide setting for the main information which is to be conveyed. Here is an example to illustrate what is meant by "immediate" and "selective" interpretation: (cited and discussed in Nyyssonen (1977));

Pliny and Elder in his highly unreliable Natural History gives directions for distinguishing a genuine diamond. It should be put, he says, on a blacksmith's anvil and smitten with a heavy hammer as hard as possible, if it breaks it is not a true diamond. It is likely that a good many valuable stones were destroyed in this way because Pliny was muddling up hardness and touchness. Diamond is the hardest of all substances, but it is quite brittle so that, even if one could get it cheaply in large pieces, it would not be a very useful structural substance.

By using procedures of immediate interpretation one would go through this passage and work out the value of the propositions and their interactive and illocutionary functions as they appeared in sequence as elements in the ongoing development of the discourse.

But not all the information in this passage is of equal importance. At a selective level one might recognise that the essential function of the passage as a whole is that it in the first place, explains what is meant by a useful material and secondly distinguishes between the concepts of hardness and toughness. All of the information about Pliny and his natural history is unnecessary at this level, it is only required to introduce the main topic at the immediate level of interpretation.

The question of the relationship between immediate and selective interpretive procedure is related to the question of "audience" i.e. the learner/reader for whom the discourse is meant. The amount of information incorporated for immediate interpretation in a text depends to a great extent on the level that the learner reached, on his previous knowledge of the topic and on the purpose for which he engaged in reading the discourse in the first place.

3.3 Discourse analysis and narrative structure:

Narrative discourse can be distinguished from other types of discourse in that it divides into two components: story; the content element of a narrative, and discourse, its expression element. Every story consists of a set of events and participants whose natural order follows that of the ordinary spatio-temporal laws of the universe. The discourse is said to "state" the story.

Of course this distinction has long been recognised since Aristotle's Poetics, and has recently been studied by Propp (1958), Todorov (1966) and Chatman (1975) among others.

Chatman (1975) not only distinguishes between story and discourse but he further made a distinction between "discourse" and its material manifestation. The latter is clearly, from the point of view of narrative, the substance of expression. He represented these distinctions in the following diagram.

	Content	Expression
Substance	Total set of objects and actions in real world that can be imitated in a narrative medium	Media, in so far as they can communicate stories.
Form	Narrative story components events existens and their connections	Narrative discourse the structure of narrative transmission

The "substance of content" is the set of possible objects, events and abstractions and so on that can be imitated by the author, while the "substance of expression" is the various media through which stories can be communicated (language, films, plays, etc.)

This study, however, is essentially about the form of narrative rather than its substance. That is, about the distinction between "story" the form of content and "discourse" the form of expression.

Narrative Discourse: is, therefore, the class of all expressions of "story" in whatever medium possible to it:

"It is an abstract class containing only those features which are common to all actually manifested narratives, namely, the features of "ordering" and "selection"."

(Chatman 1974)

In this sense narrative discourse is similar to other types of discourse in that it selects items of information to be presented and then organises them in a certain manner. Nevertheless there are certain characteristics which distinguish narrative discourse related to the nature of its content.

a. Ordering: is the manner in which narrative components are organised, the order of the appearance of narrative components in the text itself. A fundamental factor in the ordering of events in a narrative discourse is time or more precisely, successivity, that is time as seen as the compass in which successive events occur. If we compare narrative with expository structures, it will be noted that though in each case the text is expressed by temporal-sequential medium, language, only the narrative has a temporal-sequential content as well. The ordering principle of expository structures is rather logical, that is, the order of items inheres in other than time-sequence principles. Thus, though the medium in every verbal text is temporal-sequential, its inner structure also is temporal if it is a narrative "story".

Thus in the analysis of narratives, it should be noted that there is not one but two "time" scales: the "inner time" of the content (time as represented in the story) and the "outer-time", or discourse time, the time that it takes the audience to peruse the story. The first is called story-time and the second discourse-time. Chatman (1975). It is the story-time that distinguishes narrative from other discursive structures.

The order of time in a story is "natural", that is, it follows the normal rules of the physical universe. Event A happens, and then Event B: a thief robs a bank and then spends his time

gambling on the Riviera. The discourse, on the other hand, may arrange them in its own sequence without loss of logic. Inversion, for example, is possible: the thief may first appear gambling on the Riviera, and then, retrospectively, the robbery is presented. This technique is called "flashback", where events can be presented in an order which is the reverse of their actual sequence, that is, where discontinuity between story-time and discourse-time occurs.

This discontinuity may be local, i.e. while the author follows temporal order of events, he may interrupt the discourse occasionally to refer to an event which took place prior to that discourse. Or it may be global, in which case the author begins his narrative in the middle of events and then goes back to narrate past events. The author may also choose to start in the middle of events and then keeps shifting backward to past events and forward to present events such as in "stream of consciousness monologues", where this shift in events' presentation reflects the shift in the human mind as it relates past experiences with present events and future expectations.

Of course, the more frequent the temporal sequence of events in the "story" is interrupted the more complicated the discourse structure is, and the more difficult it is for the reader to follow.

b. Selection: is the capacity of a discourse to choose which, among the events and objects available to the story actually state and which only imply. For example in a complete account each character obviously must have been born at sometime or other, but the discourse needs not mention his birth, and may elect to take up his history at the age of ten or twenty or fifty, whenever it suits his purpose. Thus story is the continuum of events presupposing all conceivable details, that is those that can be projected by the normal laws of the physical universe. In discourse, however, it is only a selected set of events and details that is stated and the remaining details are left to be inferred by the reader,

which gives room for differences in interpretation.

Narrative, like other types of discourse, entails communication: hence one must posit two parties: a sender and a receiver. Each of these may represent one or several different personages. The sender is a composite of the real author, the implied author and the narrator (if any). The receiver, of the real audience listener, reader and the narratee whether external or internal to the story.

The full response to a narrative by a reader requires interpretation (a notion now standard in narrative theory that the audience are active participants in the narrative act). This is true of each and every narrative component. The audience must fill in gaps with essential or likely events, detail and objects which may have gone unmentioned. For example, if in one sentence we are told that John got dressed and in the next that he arrived at the airport, we surmise that in the space between the events depicted by these sentences, there occurred a number of aesthetically inessential yet logically necessary events: grabbing his suitcase, walking out of the house.... etc. The point is, as Chatman puts it, that:

"It is a logical property of narratives that they evoke a vast world of potential details most of which are not mentioned but can be supplied by the audience as a logical consequence of its participation in the narrative."

(1975:304)

Thus, there is a special sense in which narrative discourse may be said to "select". The author selects those events which he feels are sufficient to elicit in the mind of his audience a "continuum of actions" and the audience is usually content to accept the main lines and to fill in the interstices with information from its ordinary life experience, both of the physical and moral universe. The same thing is true of course in respect to characters. We are capable of projecting any number of details that might reasonably

apply to characters on the basis of what is expressly said. We assume that a character has the requisite numbers of eyes, ears, arms, hands, fingers and toes unless we are informed to the contrary. If a girl is portrayed as "blue-eyed", "blond" and "graceful" we may assume further that her skin is fair and that she speaks in a gentle voice. The facts of course may be other, but we have to be told so.

The power of inference has a special role in narrative structure. The degree to which such inference is required is a matter of stylistic importance. Some narratives are very explicit in their representation of events and objects - that is the discourse spells out the story in considerable detail; others leave a great deal to the inference of the audience.

The filling-in of narrative inferences by the reader is a low-level kind of interpretation which is always assumed to be of no interest, a kind of reflex action of the reading. However, to neglect it is a critical mistake.

What is of chief importance here is the implication this has for simplification, that is how different this "filling-in" is in a simplified narrative text from that required by an original version of the same narrative? As an example we can compare a passage from the text under study (third chapter in *Great Expectations*) with its simplified version:

- A: "He shivered all the while, so violently that it was quite as much as he could do to keep the neck of the bottle between his teeth, without biting it off.
- "I think you have got the ague", said I
- "I'm much of your opinion, boy", said he.
- "It is bad about here", I told him. "You have been lying out on the meshes, and they're dreadful aguish, rheumatic too."
- "I'll eat my breakfast afore they're the death of me" said he. "I'd do that, if I was going to be strung up to that there gallows as there is over there, directly afterwards. I'll beat the shivers so far."

He was gobbling mincemeat, meatbone, bread, cheese, and pork pie, all at once: staring distrustfully while he did so at the mist all round us, and often stopping - even stopping his jaws - to listen. Some real or fancied sound, some clink upon the river or breathing of beast upon the marsh, now gave him a start, and he said, suddenly:

"You're not a deceiving imp? You brought no-one with you?"

"No, sir. No!"

"Nor giv' no one the office to follow you?"

"No!"

"Well," said he, "I believe you. You'd be but a fierce young hound indeed, if at your time of life you could help to hunt a wretched warmint, hunted as near to death and dunghill as this wretched warmint is!"

Something clicked in his throat, as if he had works in him like a clock, and was going to strike. And he smeared his ragged rough sleeve over his eyes.

Pitying his desolation, and watching him as he gradually settled down upon the pie, I made bold to say,

"I am glad you enjoy it"

"Did you speak?"

"I said I was glad you enjoyed it?"

"Thankee, my boy, I do."

(p.50)

In this passage, the man's state while he was eating his food is presented quite explicitly by the discourse. He is cold and shivering, hungry, desolate and restless with fear. He engaged with the boy in three short interactions. In the first the boy expressed his concern as to the man's getting the "ague" staying out on the marshes in that cold weather. In the second, the man expressed his fear of being betrayed and in the third the boy expressed his content as to the man's enjoying his food, which the man appreciated.

The relationship between the man and the boy is explicitly presented. The boy is expressly depicted as sympathetic to

the man's state and welfare. The man in turn appreciates what the boy has done for him.

Now if we compare this with B:

"He shivered as he swallowed mincemeat, bread, cheese and pork pie, all at once, staring distrustfully and often stopping to listen. Suddenly he said:

"You are not a deceiving little devil? You brought no one with you?"

"No, sir. No!"

"Nor did you tell any one to follow you?"

"No."

"Well", said he "I believe you. You'd be but a fierce young dog indeed, if at your time of life you could help to hunt a wretched man like me."

(p.15)

Here though the man is explicitly described as cold, hungry, and afraid, there is nothing much in the text to tell the reader about the relationship between the man and the boy, or what each of them thinks or feels towards the other. The situation is much more dependent on the reader's capacity to infer from the only interaction presented, which although may explicitly hint at the man's trust in the boy it does not explain the boy's attitude towards the man.

The reader's ability to infer implicit information depends primarily on his "cognitive" level, his knowledge of the world and his specialised knowledge of the subject, i.e. narratives.

Analytic Approach:

It has been mentioned earlier that our particular purpose in analysing discourse is the development of some kind of principled approach to the simplification of narrative texts. What we need therefore is a coherent framework of description that characterises the way in which communication is affected (by simplification) through our analysis of the

product of that communication:

"Learning to comprehend efficiently involves the activation of interpretative techniques or procedures and the same procedures are brought into play in reverse when discourse is composed."

(Widdowson 1975:156)

An approach to discourse analysis, then, which begins with instances of discourse, actual data, and moves towards linguistic units to the extent that this appears to be appropriate for the purpose of the description, seems to be necessary for this study.

At the beginning of this chapter a description and a discussion of different approaches to discourse analysis and interpretation have been presented. Most of those approaches, like other work (such as examination of speech acts by Searle 1969, moves in conversation by Gordon and Lakoff 1971, Grice 1967 and Sacks 1973) attempt to characterise discourse units on the basis of their distributional characteristics. While such an analysis meets certain criteria of descriptive adequacy (Sinclair 1975:15-16) it fails to meet the more stringent criteria of explanatory adequacy in that without recourse to higher organisation information, that is the actual internal structure of a discourse, it is impossible to adequately predict the distribution of categories. Moreover, there is nothing inherent in such descriptive analyses to account for the fact that a given sequence without a surface boundary marker can be interpreted by the reader/listener as equivalent to a sequence with a surface boundary marker. Just as the boundaries of the sentence are defined by the structure of sentences rather than by overt boundary markers, so too must discourse boundaries be defined in terms of the structural properties of the discourse itself, thus:

".... only recourse to the internal structure of the discourse (and perhaps also to non-linguistic contextual information) will yield an adequate account of discourse boundaries.. Discourse boundaries in and of themselves cannot constitute an adequate discourse theory."

(Hurtig 1977:90)

A method of analysis which accounts for the internal structure of discourse is necessary in this study for these reasons:

- First: Written narrative discourse is not context dependent for interpretation, all the information necessary for interpretation is derived from the written text. In contrast spoken discourse frequently does not make explicit reference to facts on which interpretation depends - since they are normally understood from the context in which they occur. The presuppositions required to interpret spoken interaction cannot be easily supplied by an outside observer. With written texts on the other hand, the texts are written in such a way as to ensure that the reader has access to those presuppositions necessary for understanding the text. Consequently, discourse units should be investigated in relation to the internal structure of the discourse.
- Second: As was shown in the crude analysis in Chapter II, simplification of narrative discourse, is carried out not only in terms of smaller units such as clauses and sentences but also in terms of larger units such as paragraphs, etc. The relations between such units and the overall structure of the narrative should be taken into account if the simplifier is to produce a coherent simplified discourse.
- Third: Simplification of narrative texts is almost always carried out with the overall structure of the work in mind.

Of the different studies of discourse available, Grimes' (1975) approach appears to be most appropriate to the present study because:

1. It deals with the kinds of texts which is the major concern of this study, i.e. narratives.
2. It attempts to identify discourse/discourse units according to their internal structure.

The next chapter, therefore, will investigate the structure of narrative discourse as discussed in Grimes (1975). This includes identification of narrative categories at different levels of abstraction, their communicative functions, their ordering within the discourse and the effect the process of simplification has on all this.

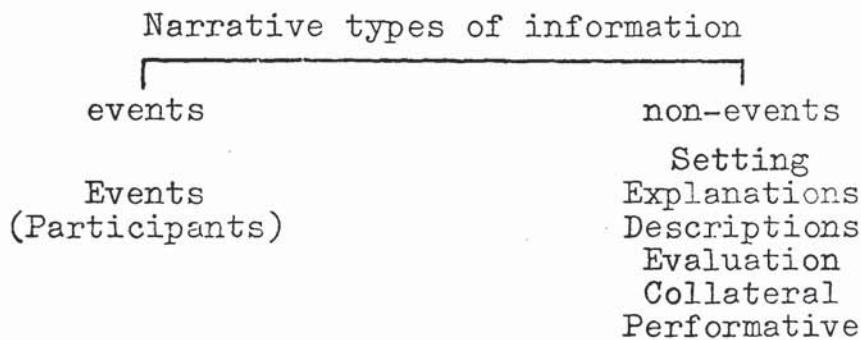
CHAPTER IVDiscourse Structure and Simplification.4.1 Categories of narrative discourse:

Grimes (1975) argues that:

"there is definitely a pattern of organization of information in any discourse that can be recognised and should be explored for its usefulness."

(1975:10)

He identifies seven types of information in narratives which he divides into two major sets of categories: events vs. non-events. They can be represented as follows:



4.1.1 Events: One basic concept involved in the definition of the notion of "event" is change. This change may be viewed as a relation between, or operation on, states of affairs. Since change is characterised by a time point, a "state change" entails a change in time, that is events are temporally ordered. One says an event has occurred or taken place when something causes a change which may affect various properties of states or situations. "Events" are classified by Chatman (1975) as either "actions" that is, "ones in which a character or an object does something", or "happenings" "where something happens to the character or object."

Participants: are closely related to events. They are characters or persons who are defined not on the basis of what

they are but on the basis of what they do, i.e. by their participation in a sphere of events which are subject to classification. Problems concerning participants classification in narratives are still partially unresolved. A major problem concerns a distinction between 'participants' and 'props'. It could be said that animate objects that are involved in actions are the 'participants' and the inanimate ones are the 'props'. Propp (1958) suggests that some inanimate objects have bearings on the development of action in a narrative the same way animates do, such as in folk tales. Wise and Lowe (1968) regarded 'participants' as those that appear in the more active semantic roles, while regarded "props" as those that do not. Halliday (1966) makes a similar remark, simply that "it is in fact as roles that participants should be regarded" (p.42). According to Chatman's definition of events given earlier both "participants" and "objects" may cause an action to take place, taking the notion of "self-energy as the definitional component". (Dillon 1977)

4.1.2 Setting: Setting is defined as a narrative category subsuming those elements indicating time and place of certain events.

Grimes distinguishes between "setting" as a part of the text and "range role" as an underlying relation of an action to its surrounding. "Range" is part of the definition of certain actions, not part of the definition of every action, e.g. in the verb "climb" the surface on which the climbing is done is an essential semantic element of the action, if reference to that surface is omitted it is because this reference to the surface is irrelevant to the action. On the other hand, "setting" as a category can apply to verbs that do not have "range" as part of their meaning, e.g. in:

She knitted the socks on the porch.

"on the porch" is not a component of the meaning of "knit" but has a counterpart:

When she was on the porch, she knitted the socks.

A range element cannot be put into a separate clause in the same way, e.g.:

He climbed up the hill

cannot have the counterpart:

When he was up the hill, he climbed.

On the other hand, setting is capable of extending over a sequence of actions and is independent of the meaning of any of them such as in:

"when she was in the house, she called everybody and told them the news".

Settings in space are frequently distinguished from settings in time, i.e. they may occur separately in a text. Both types of setting tend to occur earlier in a text, nevertheless they may be redefined during the course of events either by motion from one place to another or by a more static characterisation of one area in its relation to the area where earlier action occurred. Temporal setting can also be redefined in the same way during the course of the narrative, by signalling the time where a certain event took place or by mentioning the duration of time which passed between events.

4.1.3 Descriptions: This category provides descriptions, temporary or permanent, of participants, objects, properties and general qualities which may help the reader to understand and contextualise events. The most common of these is the presentation of participants' appearance, manners and behaviour.

4.1.4 Explanations: Grimes regards this category as having a secondary role in a narrative. It stands outside events and clarifies them. Explanatory information may also be given in the form of past events which may have a certain bearing on the interpretation of present events. These past events are in a

sense, embedded events since they typically occur in a time framework that is removed from the current course of events. Furthermore, there is no requirement that the participant in these events be connected with participants in the current sequences of events. Here is an example for illustration:

I know my way to the battery pretty straight
for I had been down there on a Sunday with Joe, and Joe,
sitting on an old gun had told me that when I
was 'prentice to him regularly bound, we would
have such larks there I found myself
at last

(p. 48)

4.1.5 Evaluation: Not only does the narrator give an account of events, participants and environment that are constructed around them but he also includes, sometimes, what he thinks and feels about them. In other words, he adds his internal feelings to other kinds of information (which is not the same as a simple reporting of what one's internal feelings are).

Evaluation is considered by Labov to be "perhaps the most important element in addition to the basic narrative clauses". By evaluation he means "the means used by the narrator to indicate the point of the narrative its *raison d'être*: why it was told and what the narrator was getting at." (1972: 366).

Of course, not everything in a narrative discourse has to be evaluated. For this reason it is useful to recognise the scope of an evaluative statement. It may be global evaluating the entire discourse, concentrated in one section immediately preceding the resolution, or evaluative devices may be strung throughout the entire narrative where the narrator interrupts the progress of events with a statement assessing the situation, in which case these devices are regarded as local evaluations.

Local evaluations may be expressed from several sources. Any participant in a narrative can be assumed to have his own opinions of things and the writer may feel that he knows what

those opinions are sufficiently well to include them. Only under the assumptions of an omniscient viewpoint can the writer or the person, from whose point of view the story is told, establish himself as being in a position to know what a particular participant's point of view of things is.

Labov further distinguishes between two kinds of local "evaluative" comments:

- a. External: The narrator himself asserts the point of the story in statements like "it was quite an experience" or "it was the strangest feeling".... etc.
- b. Internal: the evaluative statements are embedded in the story. The narrator may present the statement as having occurred to him at the time of the story, or may present the statement as addressed by him to another character or by attributing evaluative remarks to another observer in the story.

Labov notes that the more deeply in the story, the more effective an evaluation statement is.

4.1.6 Collateral: Collateral information reports what might have happened but actually did not happen or might happen later in the discourse. It sometimes presents a range of possibilities that the narrator/writer might expect them to happen so that, when they do happen, they stand by contrast. The following is a classical example of collateral information:

If he had chosen to look back, which he did not, he could have seen the crowd.

Labov (1972) calls this category "comparators" since they refer to hypothetical events that are then compared to the observed events. "A Comparator" Labov (1972) states "moves away from the line of narrative events to consider unrealised possibilities and compare them with events that did occur."

4.1.7 Performative: Performative information refers to what is traditionally called 'direct Speech'. It is multi-functional. It can serve to further action, to develop character, to describe setting or circumstances, to present a moral argument or to perform a combination of these purposes. Performative utterances are required to be in the first person (and in the present tense) to fulfil all the necessary extralinguistic conditions, to make them plausible (Austin 1969).

An utterance with a performative value, therefore, may be explicit or implicit: When it is explicit, the identification of participants is derived from the immediately dominating verb of saying or thinking such as in the following exchange:

"Did you notice anything in him?"
 "He had a badly bruised face." said I
 "Not here?" exclaimed the man
 "Yes there".

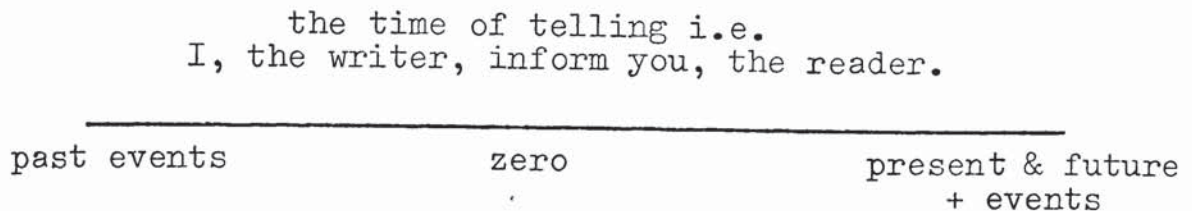
If a performative is "implicit", the assignment of participants is taken from some performative more remote than the one that dominates a certain explicit performative utterance. Assuming a performative behind every written discourse, the implicit performative refers to the global performative situation which dominates the whole text. This shows up if we paraphrase the first utterance in the narrative as:

I, the author, hereby inform you, the reader

There, the person speaking is always "I" and the person spoken to is always "you" and the performative verb is always implied in utterances in indirect discourse "I inform you..... "

The duality in the performative situation here relates to the duality inherent in narrative communicative situations. The relationship between participants in the implicit performative i.e. speaker/writer - hearer/reader is constant, while the relationship between participants in an explicit performative is not, since participants vary according to their role in the narrative.

The time, place and surroundings where a performative utterance occurs is also part of the performative information. As to the writer-reader performative situation, place reference is irrelevant while the time axis of discourse can be represented as such:



Zero matches the time the actual activity of uttering the discourse begins, the negative part of the line matches events that happened before then and the positive part matches both the uttering of the discourse itself and the future events that are talked about.

In an explicit performative, however, information about place, time, and surrounding environment are usually presented to the reader within the context in which utterances occur.

4.2. Levels of Analysis:

Grimes (1975) proposes a hierarchical structuring of narrative discourse which ranks as follows:

1. The basic unit: The smallest unit on which Grimes bases his analysis is the grammatical unit "clause", "in general the clause is a convenient chunk to work with" (p.84). This does not mean that there is one-to-one correspondence between a clause and a narrative information unit. In some cases a narrative type of information corresponds only to a part of a clause.
2. Spans: Grimes then moves to another level of abstraction further removed from the text itself, namely that of a "span". Grimes defines a span as:

"a sequence of information units of the same kind, within which there is some kind of uniformity".

(p. 91)

It is possible, he says, to plot spans of each of the seven types of information in discourse. A series of clauses which

represent a sequence of events, for instance, appears as an "event span".

3. Episode: is the next level of abstraction higher than the span. While spans are made of units of information of the same type, "episodes" are made of combinations of different classes of "spans". However, an episode is not simply a string of spans but has its own characteristics as Grimes puts it:

"An episode may consist of a series of paragraphs in which the same participants take part, so that a new episode begins when a significant change of participants take place it (an episode) also involves a change of scene from the previous episode in the story."

(1975: 109-110)

4. Story: is to be taken, according to Grimes (1975), as the ultimate level of organisation. It is the highest unit in narrative discourse, which itself is made up of a series of episodes, usually, chronologically ordered.

Grimes seeks through this method of analysis to represent a linguistic model which can exhaustively account for all the semantic structures that underlie a narrative text at different levels of organisation. It is not sufficient to regard one kind of information in a narrative discourse, as more "important" than the others. There is a combination of different kinds of information operating simultaneously which results in a coherent discourse. Information about "events" and "participants" is particularly important for the characterisation of the narrative discourse. But on the other hand it is not possible to characterise this information satisfactorily without considering the context in which it occurs.

4.3 Evaluation of Grimes approach:

We need, first, to recognise the limitations of this approach:

1. This system of analysis appears to be suited only for the analysis of simple narrative texts which characteristically have distinct participants, i.e. have little or no merging of

individual participants into groups or combining of one group with another, in which case reference to individual participants and the roles they have in relation to each other will be difficult to identify.

Characteristics of these simple narratives also is that in them telling matches time. That is the sequence in which events are told matches the sequence in which the events actually happened. To account for more complex narratives, where the telling starts in the middle of events and the writer keeps shifting backwards to explain certain events, this model of analysis would have to be developed further.

2. This method of analysis fails to map out the informational content at the lowest level of analysis. The basic unit that Grimes suggests is the 'clause'. At higher levels, however, units are defined in semantic and narrative terms rather than in syntactic terms. The effect is a certain mismatch between functional units in narratives and units in syntax.

3. There is no clear explanation as to what linguistic forms represent what narrative categories, of course context itself has a crucial determining effect on what utterances count as, but this is not always a reliable measure.

4. The fact is that, while it is theoretically possible to characterise discourse units and their combinations, no strict co-occurrence distributional rules are stated. However, Grimes points out co-occurrence tendencies among units at different levels which recalls some of the problems noted in Sinclair and Coulthard's (1975) analysis of discourse in the classroom.

5. While Grimes' approach seems to meet most of the descriptive criteria outlined in Sinclair (1975), it has to be admitted that it is difficult in practice to separate explanatory information and descriptive information. It was therefore

decided to conflate them under "background" since both function in a similar way within the narrative.

Advantages of Grimes' approach:

1. As was indicated earlier, the data on which Grimes based his theory is similar to the text under study while the procedures of characterisation he arrived at seem to be conveniently suited for the analysis of simplification of such texts.
2. Grimes' use of "diagrams" to plot different types of information at different levels is of particular interest. That a reader's interpretation of a text, and of the structure of a text will depend not only on who he is but also on his purpose in reading it, has probably not been sufficiently recognised in accounts of simplification. Since different readers are likely to extract different kinds of information from a text at different times it would seem advisable to arrive at a consensus as to the "textual structure" before any analytic work began. The use of diagrams is likely to make it easier to arrive at such a consensus. Crothers (1972) argues that mapping the structure of a text in the form of a graph represents "one's ability to outline a passage more or less in accord with someone else's outline" (Crothers 1972).
3. The view held by Grimes that recognition of the structure of a text in terms of the hierarchical relationships between units at different levels, is a feature of higher-level comprehension has influenced the view here that by making the surface organisation of units within a simplified text clearer or more obscure will affect the readability of a text.
4. The narrative categories identified by Grimes are quite traditional and as such, probably useful for pedagogical purposes.

Notwithstanding the limitations of this approach, Grimes' method of analysis is borrowed and his terms are used in this

study. The third Chapter of the original version of "Great Expectations" and its simplified version (Longman's 1961) will be characterised in terms of the discourse units identified above, their ordering and their function in each text, at different levels, in order to discover the implications which simplification has on the different categories of narrative discourse.

What this will do is to exemplify the problems and the nature of this approach.

But before this, an attempt is made to define the basic unit in this analysis.

4.4 Discourse units:

4.4.1 Identification of the basic unit:

As has been suggested above, Grimes' system of analysis failed to identify the elementary unit. It was thought, therefore, that the best starting point for developing a model of analysis, would be to provide a definition of that unit, if possible.

Earlier studies have already specified this unit and given it the name "motif". According to Tomashevskij (Dolezel in Chatman 1971, p.96) a motif is:

"The minimal dissection of the thematic material, it corresponds most nearly to the grammatical unit sentence."

It should be emphasised here that although a "motif" will be regarded here as the minimal structure in a narrative discourse in the same way these earlier studies did, yet their analysis and functions of motifs will not concern us here. A motif will be used as a part of the semantic-functional analysis which will become evident as the discussion proceeds.

A "motif" then is to be regarded as the minimal narrative unit which corresponds roughly to other minimal units at other

22.
levels of discourse (minimal here is defined in terms of discourse, i.e. the minimal unit that can be used meaningfully in a discourse):

Syntactic	Semantic	Pragmatic	Narrative
clause	proposition	act	motif

and like these minimal units a "motif" is regarded as a semantic invariant which can be realised in a particular text as any of the following variables:

Event (including participants)
Setting
Background
Evaluation
Collateral
Performative

4.4.1.1 The semantic structure of a motif:

The position adopted in this study is that the choices a writer has available within the content system can be expressed by means of propositional structures.¹ On the narrative level however a "motif" realises a proposition. It is only through reference to this semantic unit that a recognition of the narrative types of information a motif represents in a given text, is possible.

4.4.1.2 Role relationship:

In the deep structure of sentences, a "proposition" is a tenseless set of relationships involving verbs and nouns and separated from the "modality" component. (Fillmore 1968)
That is to say the basic structure of a sentence (or a clause) consists of two components:

Sentence \longrightarrow Modality and proposition

Fillmore (1968) defines the propositional component (of a simple sentence) as an array consisting of a *predicate plus a number of *arguments holding special relations to the proposition. Arguments refer to individuals. By individuals

* Note that the terms 'argument' and 'predicate' are used in the sense traditional to Semantics (cf Leech 1974).

is meant, persons, things, places of everyday life that would be recognised as distinct and identifiable. While a predicate is used in combination with arguments in order to give some information about the individual that the argument refers to, for example, to ascribe to him a property. We are of course concerned with propositions and not with the grammatical structure of sentences: but to apply the logical distinctions of predicates and arguments to simple sentences, it could be said that proper names like "John" or "London" are to be identified with arguments and verbs like "eat" and adjectives like "big" are to be identified with predicates.

Much of the content of any discourse is expressible in terms of predicates whose arguments are related to them in a small number of conventional ways called role (or case) relationships. These relationships include such concepts as agentive, instrumental, objective etc.

Predicates are subclassified according to the case environments they accept. The semantic characteristics of predicates relate them either to specific case elements in the environment or to elements containing features (such as animateness) introduced as obligatory accompaniments of particular cases.

Some predicates for example denote states like "cold" and "sit", others denotes processes like "melt" and "rain". Still others denote motions like "walk" or motionless action like "cough". Others combine actions and processes like "bend" and "throw". Finally some denote experiences like "hear". Each of these subclasses of predicates relates usually regularly to certain roles, but not in any one-to-one way. States and processes both take "object" (patient), actions take an "agent", action-process take an agent for the action component and an object/patient for the process components... etc.

What is meant here is that a predicate:

"determines what arguments will accompany it, what the relation of these arguments to it will be and how these arguments will be semantically specified."

(Chafe 1970: 97)

For example, suppose the predicate is specified as an action (motionless action) as in:

The man laughed

Such a predicate determines that it be accompanied by an argument (the man), that the argument be related to it as an "agent" and that the argument be specified as an "animate" perhaps also as "human".

The notion of role relationship as part of the meaning of words derives from Fillmore (1968). Ideas similar to Fillmore's have appeared in other works. Lyons for example proposes a notional theory of parts of speech which taken together with his views on grammatical functions results in a picture of grammar that does not differ greatly from Fillmore's. Halliday discusses the same kind of relationships under the label of "transitivity".

"The transitivity systems are concerned with the type of process expressed in the clause, with the participants in this process, animate and inanimate and with various attributes and circumstances of the process and the participants."

(Halliday 1968:38)

Chafe centres his attention on the verb rather than a verb-noun relations as such, but the effect he achieves is substantially the same.

Nevertheless, different writers have defined the roles slightly differently. Each writer has produced a different list of what the standard role relationships are. Grimes' list of role relationships is slightly different from those mentioned above yet derives from their literature.

He distinguishes three sets of role relationships:

1. Orientation roles
2. Process roles
3. Agentive roles

1. Orientation roles:

Orientation predicates have to do with motion and position. There are four roles that are associated with them.

1. Object: (O): which identifies the thing that is moving in the dynamic case, or the thing that is in a particular position in a static case, e.g.

- a. Water (O) flows downhill.
- b. A statue (O) sits on a pedestal.

The 'object' is the thing whose orientation to its physical environment is given by the predicate.

2. Source (S): applies to motions but not positions. It identifies the location of the object at the beginning of the motion, the initial boundary of the event, e.g.

The letter (O) fell from her hand (S)

indicates that as the event began, the letter was in the position defined by "her hand". Motion implies that when the event ended the object was somewhere else.

3. Goal (G): also applies to motions but not to positions. It identifies the location of the object at the end of the motion, the terminal boundary of the event, e.g.

The letter (O) fell, to the floor (G)

indicates that as the event ended, the letter was in the position defined by "the floor".

4. Range (R): is the term (originally used by Halliday) for the relationship that others have labelled locative, locus, place. In an expression of motion "range" indicates the path or area traversed as in:

The ball (O) rolled down the road (R)

With position, it indicates static location as in:

The house is situated on top of the hill (R)

"Range Role" can be distinguished from "settings" by the fact that, as in the above examples, "range" is a part of the definition of certain verbs, while "setting" as a category can apply also to verbs which do not have 'range' as part of their meanings, e.g.

She knitted the socks on the porch.

in which case it is possible for the phrase "on the porch" to be put in a separate clause:

She knitted the socks, when she was on the porch

which is not possible with 'range' roles, e.g.

He came down the hill safely

"Range" is the only role associated with a class of predicates that are called "ambient", e.g.

Moscow is cold.

has a close paraphrase as

It is cold in Moscow (R)

which sets it apart from

Ice is cold

which has no analogous paraphrase.

(the "it" is a dummy subject that reflects no role element).

5. Vehicle: is the final orientation role. It refers to something that conveys the object and moves along with it as in:

The letter (O) came by plane (V)

These orientation roles are defined in spatial terms. They also have a non-spatial area of meaning in which the linguistic form is appropriate for movement but semantically nothing moves: e.g.

This idea (O) came to me (G) from Austin (S)

The tune (O) kept running through my brain (R)

II Process Roles:

These roles have to do, on the dynamic side, with changes of state and on the static side with stable states. These are three roles:

1. Patient: This is the central role in the "process role system" just as Object is in the orientation system. It is the relationship between a thing that gets changed and the process that changes it, or in the static sense, between the thing that is in some state and the state it is in. The exact way the "patient" relates to a process or a state depends on what that process or state is, e.g. a patient that undergoes a process, which is gradual, as in

The snow (P) melted.

or abrupt as in:

The foundation (P) cracked.

In English the "patient" of a state takes a special grammatical form involving be as in:

The snow (P) is white

The foundation (P) is cracked

Psychological processes as perception and feeling employ the patient relation to identify who it is that perceives or feels,

e.g.

I hear

I am furious

The most characteristic mark that distinguishes patient from range is that while a patient is typically changed in form by a process, a range is not affected in any parallel way.

2. Material: (M) and Result (Rs) identify the state of something before and after it undergoes a process. There seems to be a general constraint on these two roles that requires one or the other of them to combine with "patient" so that although they can be recognised as distinct from each other, they are not as readily isolated as the other roles, e.g. :

She makes dresses (P/Rs) from flour sacks (M)

Chafe uses "complement" for the result relations while Fillmore uses "factitive".

3. Referent:(Rf) It distinguishes the limitation of a process to a certain field or object from the actual implication of a process to a patient, e.g.:

We talked about politics (Rf)

tells what the discussion was limited to, "politics" itself suffered no change as the result of the process. This also applies to instances such as:

This book costs 3 pounds.

III Agentive Complex:

This set comprises three roles:

1. Agent:(A) identifies who is responsible for an action, e.g.

The doctor (A) examined the patient (P)

"Agent" occurs both with process roles as in the last example

and with "orientation" roles as in this example:

The boy (A) threw the ball (O)

"Agents" are always taken to be basically animate. When the "agent" is inanimate it is identified as an instrument or tool:

1. Fred (A) fixed the engine (P) with his screwdriver (I)

Both Fred and the screwdriver are involved in the process of fixing the engine. Fred, not the screwdriver, is cast as the one responsible for the action when they are both mentioned. If only the screwdriver is mentioned, however, it stands as the responsible element in the chain of action. In other words, if only one causal element is present it is the "agent" regardless of whether it is animate or inanimate as in

2. The screwdriver fixed the engine
3. The lorry damaged my car.

If there are two causal elements, the one cast as the most responsible is the agent and the other is the instrument as in the first example.

The element of animacy is usually held to be associated with "agent" but not definitional. In Fillmore's an "agent" is "typically animate". The notion is also entailed of course for those who take the "intentional" view such as Quirk et al (1972). Chafe (1970) takes the notion of self-energy source as the definitional component rather than "intent". Obviously being animate accounts for being capable of self-energy source.

Another element which is usually associated with "agent" role is what Fillmore defines as "instigator of the actions identified by the verb", which is vague as to "intent". Yet problems arise when the "instigator of the action" is not the one who performed it such as in this example:

Sally had John set the table.

Where "John set the table" while Sally instigated the action. Grimes does not find a strong motivation for looking at "causatives of action" as separate role. He argues that any expression that involves explicit causation has to make use of "complement verbs" (such as cause, have, made) as in the previous example, in which case it is analysed semantically into a predicate that takes two arguments: An agent of its own, which corresponds to "Sally" in the example and a result argument which is itself a proposition corresponding to "John set the table". This embedded proposition in turn has its own "agent", (John).

2. Instrument: (I) or tool has already been mentioned in relation to the "Agent". Whereas the agent roles does not necessarily imply animateness, however, the instrumental role does not imply inanimateness such as in:

The locomotive (A) cleared the track (R)
with a snowplough

3. Force: (Fc) or non-instigative cause, is similar to both instrument and source but must be kept distinct from both because its surface expressions are never quite the same as either of these two. It asserts a causal relationship devoid of responsibility and it is incompatible with both agent and instrument.

In relation to surface structure, force assumes a form that , cannot be paralleled by anything in the agentive complex, e.g.: kill is generally the "agentive" counterpart of die in:

The girl (P) died
The man (A) killed the girl (P)

The non-instigated version is:

Malaria (Fc) killed the girl (P)

however has the counterpart in:

The girl (P) died of malaria (fc)

which requires a different preposition form which would be permitted with an instrument (with) or with an agent (by).

Agent, instrument, force share enough similarities that they can be regarded as members of a single 'agentive' complex. They take priority over all other roles in mapping to the grammatical position of subject.

Benefactive: (B) seems to stand outside both the orientation and process role systems such as Agentive roles do. The term benefactive is misleading although widely accepted. It can be regarded as a super-numerary role in that it can be attached almost to anything, e.g.

We chased the cats out of the attic for
her (B)

Benefactive also appears to violate a general constraint that permits at most one argument of any role type in a proposition, e.g.

He drained the water out on me (B) for his
friend (B)

where there are two benefactives.

It should be pointed out at this stage that the number of role relations that can enter into the semantics of any lexical item in English can vary from one to eight, i.e. any proposition can contain up to eight arguments, e.g.

We (A & S) carried the supplies (O) all the
way up (G) the cliff (R) for them (B) on
our backs (V) with a rope (I)

The role relationships discussed so far can be represented as follows:

Orientation

Objective (O)
Source (S)
Goal (G)
Range (R)
Vehicle (V)

Process

patient (P)
material (M)
result (Rs)
referent (Rf)

Agentive

Agent (A)
Instrument (I)
Force (Fc)

Benefactive (B)

As can be noted from this table, the roles set up for orientation have counterparts on the process side and vice versa. Only vehicle has no counterpart in the process set.

Both kinds could be considered complementary variants of a single set of roles. Grimes pointed out the close relationship between source and goal on the one hand and material and result on the other hand and collapsed them into two time oriented roles:

Former (F)

Latter (L)

representing the beginning and ending points of either a motion or a process.

Object and Patient, however, both identify what is affected, one in terms of motion or position and the other in terms of change of state and process. Range and referent can be united on the same basis.

Agent and Instrument are free to go with any of the process or orientation predicates. Both are incompatible with force yet neither seems to be incompatible with vehicle. This leaves vehicle as the only orientation role without a process counterpart.

Because of this complementarity of pairs of roles and of the limitation on number of roles that occur in a proposition Grimes suggests a unified set of role labels which figures as follows:

<u>Orientation</u>	<u>Combined</u>	<u>Process</u>
Object	patient	patient
Source	former	material
Goal	latter	result
Range	range	referent
Vehicle	vehicle	
	agent	
	instrument	
	force	
	benefactive	

The exact meaning of those combined roles is dependent then on a characteristic of the predicate with which they are used: orientation, either as motion or position; or process, either as pure process or as state.

It is likely that for the purposes of distinguishing different types of information in discourse, e.g. to distinguish settings from events, e.g. motion and position predicates need to be specified while process and state predicates have to be distinguished in relation to identification (of participants).

Therefore, it is thought here that it might be useful for this study to retain "process" and "orientation" role labels as distinct.

4.4.1.3 Role relationships and motifs:

The role relationships between a predicate and arguments present in a motif depend greatly on what function a motif has in a narrative context. In the following section semantic features which characterise each type of "motif" will be discussed, illustrated by examples from the texts.

1. Event motifs:

It has been suggested in the previous analysis that predicate determines/are determined by the case environments (what Fillmore calls case frame) in which they occur.

Predicates associated with "event motifs" are of three types:

1 - Orientation predicates expressing motion such as in:

he ran into the mist
I went forward
I had just crossed a ditch

2 - Process predicates expressing change of states such as in:

he shivered all the while
I opened the bundle

3 - Predicates expressing psychological processes expressing change of states such as in:

when I saw the man
I thought.

Each of these predicates is associated with a set of roles
for example predicates expressing motion typically combine
agent and object such as in:

he (A/O) ran into the mist (B)
he (A) put down his head (O)

while predicates expressing change of state processes combine
agent and patient such as in

he (A/P) shivered all the while (R)
he (A) opened the bundle (P)

Or agent and patient and instrumental as in:

he (A) fixed me (P) with his eyes (I)

Predicates expressing psychological processes take a patient,
e.g.

I (P) saw
I (P) thought

(originally Fillmore assigned a special role to this rela-
tion called "experience")

Generally speaking, the choices that can be realised in an
"event motif" can be formulated as follows:

I	II	III
(A)		(R)
(O)	orient-motion predicates (O)	(I)
(P)	process-change of state (P)	(G)
(I)	predicates	(S)

On the surface structure, the compass for the expression of
role relationship is usually the clause. A predicate whose
meaning is partly defined in terms of role relationship often
corresponds to a verb of a clause, a predicate adjective or "

predicate nominal. While the role elements that go with it correspond to the subject, object, and the prepositional phrases of various kinds.

(Clauses may themselves, of course, be embedded within other clauses and compressed in various forms. Predicates may therefore be expressed not only as independent clauses but as dependent or embedded clauses. These clauses should be assigned roles according to the relationship they have with other elements in the main clause to which they relate).

Thus, in a clause expressing an "event motif", roles may be represented as typically occurring in the following grammatical slots:

(Subject)	(Predicate)	(Object)	(Prep.Ph.)
A	process-dynamic	P	I
P	orientation-motion	O	R
O			G
I			S
Fc			

Events and identification of participants.

"Participants" constitute a part of the information represented by the "event motifs". They are identified here as "those animate or inanimate individuals" who occur mainly in the subject position of main or dependent clauses, who are either responsible (intentionally or non-intentionally) for the occurrence of certain actions such as A, I and Fc, or those who have something happening to them such as P and O.

This identification was based on the fact that in some cases the inanimate individual could bring about a change which has a certain bearing on the events that follow..

2. Setting Motifs

"Setting motifs" can be expressed both in separate clauses and in a form parallel to that used for range elements. In either case it is typically associated with orientation predicates expressing position, and process predicates expressing stable

states, e.g.:

it was a rainy morning (R)

I was soon at the Battery (R)

which consists of process-static predicates plus a range introduced with patient or more often with "it", a dummy subject which does not reflect any role element, e.g.

On every rail and gate (R) wet (O) lay clammy.

where the predicate identifies the particular position of the Object, and the range element identifies its orientation, although it assumes a thematised position at the beginning.

The following sentence offers a different example of this type of motif:

The mist (P) was heavier (when I got out
upon the marshes (R)

Where the predicate (process-static) identifies the state of the patient (the mist). While the "range" element is expressed here by a dependent clause. It has been pointed out before (4.4.1.2) that the main difference between a "range" element which occurs as part of a "setting" motif, and that which occurs as part of any other motif is that in the former case, the range element can be expressed in a complete clause such as in the previous sentence. In this example the dependent clause can be expressed as follows:

The mist (P) was heavier upon the marshes (R)

There is a question here as to whether a temporal role might be needed to account for a relation that is similar to "range" but is time oriented. The strongest evidence for this comes in ambient predicates. Although forms like:

it was a rainy morning

and

the morning was rainy

fits the range pattern, this is not easy to maintain for others

where a temporal element and a location element are present in one clause such as in:

- Moscow (R) is freezing in January (?)
 or
 January (?) is freezing in Moscow (R)
 or
 It is freezing in January (?) in Moscow (R)

which is difficult to account for and sure to require the recognition of a temporal role as well.

To conclude, it could be said that a setting motif can be represented (in terms of role relationships) as follows:

I	II	III
dummy (it)	orientation/position	R
	process/static	
O	predicates	
P		

It should be mentioned here that there are very few cases where Agent + orientation/process predicates are used metaphorically where the linguistic forms are appropriate for movement but semantically nothing happens, e.g.:

The gates and dykes and banks (A) came
 bursting at me (B) through the mist (R).

3. Background Motifs

Background motifs generally have an explanatory function. Explanations can be given in different ways; by giving a description of participants' physical properties, accidental or permanent, or their action at a present or previous point in time.

The first kind of explanation is typically realised by a process predicate that expresses stable states which have "Patient" (at Subject position) as the central role:

his back (P) was towards me

predicates expressing psychological processes are used here
e.g.:

he (P) was cold
I (P) was anxious to

And also predicates expressing perception such as in

I thought
I hesitated
I noticed
I saw

There are also some instances where background motif, realised by a dependent clause, is presented as an explanation for one role element in the main clause (usually, the clause just preceding it) mainly to identify something about this element, e.g.

- who even had something of a clerical air.
- which I know to be near the batter.
- which they never accepted.

As to the second type where events are used to explain other events, it has been noticed that motifs of this type were marked by the absence of participant identification in most of the cases. The participant can be understood only implicitly through the agreement of the participant construction: e.g.

- making my way along here
- hugging himself to and fro
- filing at his fetters
- stumbling twice as

They are generally structured in the same way as event motifs are.

4. Evaluation Motifs

Just like background motifs, evaluation motifs have an explanatory function. Yet while in background motifs information given is neutral as to the speaker attitude, evaluative motifs

reflect the attitude of the speaker towards individuals and events. Again this was expressed by predicates which expressed psychological processes such as:

be	}	adj. Ph.
seemed		nom. Ph.

Here are some examples:

This was disagreeable to a guilty mind (B)

It seemed to my oppressed mind (B) like a phantom devoting me to the hulks.

Everything (P) seemed to run at me (B)

Typical in these motifs too, the occurrence of "benefactive".

5. Collateral Motifs.

Represent information about events which should have happened but never did. Although the predicate and roles associated with this type of motif is similar to that associated with event motifs, i.e. it expresses a process of the dynamic kind, yet there is an element of negation characteristically implied in this type of predicates, e.g.:

I should have felt pain

He would have tried to eat it

which can be expressed explicitly if it was followed by e.g.:

- I should have felt pain in my liver
(but I didn't)

- He would have tried to eat it, (but he didn't)

6. Performative Motifs.

Performative motifs refer to "direct speech" in narratives. They are different from utterances with performative value in spoken discourse in that they have no illocutionary (or pragmatic) function.

Performative motifs are different from all the types of motifs discussed so far. One major difference is that instead of being realised by clauses and sentences, they are realised by utterances. In this case, a performative motif is to be identified with an utterance made by one participant. In the following exchange two motifs can be identified, each is made by a different participant:

A - I think you've got the ague

B - I'm much of your opinion, boy.

There is no limit as to what predicate may occur in this type of motif, it can be almost anything, yet the "I" in any of these motifs is always either an agent or a patient.

It is also characteristic of this type of motif that it can be highly compressed, i.e. reduced to one or two role elements, e.g.:

- where?

- over there (R)

4.4.2 Spans

The specification of features identifying a motif enables us to identify larger units of discourse such as spans. A span may be defined as a discourse unit which consists of motifs of the same type. Therefore, there are six classes of spans which correspond to the six classes of motifs discussed above (participants are regarded as part of event motifs).

4.4.2.1 Events spans:

An event span consists of a series of "event motifs" which are causally and temporally ordered. Labov defines narrative events as:

"One method of recapitulating past experience by matching a verbal sequence of clauses to the sequence of events which actually occurred within this conception of narrative (events)

we can define a minimal narrative as a sequence of two clauses which are "temporally ordered" that is, a change of their order will result in a change in the temporal sequence of the original semantic interpretation."

(Labov 1972:36)

Labov then confirms that "Continuous sequences of narrative events are not very common in narrative discourse". In actual fact they are rare to find. Other types of narrative information always interfere. A sequence of "event motifs" is distinguished from a previous sequence of events in that actions in each sequence involve uniform relations along their participants. Here are two examples for illustration:

1. One black ox fixed me so obstinately with his eyes
..... moved his blunt head round he put down
his head, blew a cloud of smoke out of his nose....
vanished with a kick of his hind-legs..... (p.48)
2. I saw the man I went forward softly..
... (I) touched him on the shoulder. (p.49)

4.4.2.2 Setting spans:

A setting span is a sequence of motifs which represent a description of a single spatial location, a temporal aspect or other circumstances under which a certain number of events take place. A setting span may be spatial (refers to the place only), temporal (giving time particulars) or both if they are related together in some way. The opening lines of this text offer an example of this, where temporal setting shades off into a description of the place and conditions of weather on that particular time of the day: e.g.

"It was a rainy morning and very damp
I saw the damp lying on the bare hedges and
sparse grass On every rail and gate
wet lay clammy the marsh-mist was so
thick the wooden finger on the post ...
was invisible to me

(p.48)

It is a characteristic of setting spans to occur very early in a narrative discourse specially if they are detailed. Either the spatial or the temporal setting or both may be redefined during the narrative, in which case it is usually brief, represented by one or two motifs, e.g.

1. The mist was heavier yet when I got upon the marshes. (p.48)
2. I was soon at the Battery. (p.49)

4.4.2.3 Background spans:

A background span is a series of background motifs which gives an explanatory description or account of events concerning an individual. One main characteristic of this type of span is that unless it gives description of one of the participants, it almost always interrupts other classes of spans.

They tend to be long when they occur on their own as independent spans, however, when they interrupt other classes of spans they are usually shorter.

Here are two examples to illustrate this:

1. This man was dressed in coarse grey, too, and had a great iron on his legs, and was lame, and hoarse, and cold, and was everything the other man was; except that he had not the same face, and had a flat brod-brimmed low-crowned-felt hat. (p.49)
2. a direction which they never accepted. for they never came there (p.48)

4.4.2.4 Evaluation spans:

An Evaluation span is a series of motifs which gives information from the point of view of the speaker. They tend to behave in a similar way to background spans. They are usually no more than two or three motifs when they interrupt

other classes of spans. While they tend to be longer when they form independent spans. In this narrative we are concerned more often with the first type which tend to occur more frequently than the second.

In general, evaluation spans, characterising this discourse are of the local type where the narrator interrupts the progress of the narrative with a statement assessing the situation such as in:

This was disagreeable to a guilty mind
(p.48)

Or a statement of his evaluation of individual's behaviour:

..... moved his blunt head round in such
an accusatory manner.
(p.48)

"Evaluation" information is considered by Labov (1972) to be "perhaps the most important element in addition to the basic narrative (events)". By evaluation Labov means:

"the means used by the narrator to indicate the point of the narrative, its *raison d'être*: why it was told, and what the narrator was getting at."
(Labov 1972:366)

4.4.2.5 Collateral spans:

A collateral span consists usually of two or three motifs. General speaking a collateral span moves away from the line of narrative events to consider unrealised possibilities and compare them with events that did occur. Labov calls them "comparators". According to him:

"They draw upon a cognitive background considerably richer than the set of events which were observed."

In Labov's analysis of "natural narratives" he found that some comparators perform an evaluative function "which is more deeply embedded in the story." Here is one of Labov's examples:

"The doctor says "just about this much more
and you'd have been dead"."

In this narrative there are few examples of this class of span,
here is one of them:

"he would have tried to eat it if he had
not seen my bundle."

(p.49)

4.4.2.6 Performative spans:

By performative spans here we refer to motifs that occur in the speech situation between participants in the narrative discourse (and not in the general writer/reader speech situation). A performative motif is defined as a single utterance that one participant makes at a time. A performative span however refers to a sequence of utterances which take place between two participants consisting at least of one exchange.

The identification of participants in a "performative span" derives mainly from the immediately dominating predicates of "saying" which usually accompany these utterances.

4.4.3. Span structure:

A span, however, can be distinguished from a following or preceding span of the same type in that it has some or all of the following characteristics:

1. Reference: A series of referential identity of individuals, objects or properties, although not necessarily in contiguous motifs may determine the structure of a span.
2. Topic : The facts denoted by a single span are usually related with respect to a topic which underlies its structure as a whole.
3. Lexical reference: There is also a lexical evidence for the identification of spans. This means

that lexical items expressing propositional 'predicates' or 'arguments' may collocate or may belong to the same semantic field (or frame).

4. Connection: If a span is constructed basically as a series of propositions, it is expected to be connected. Such connection may be expressed by subordination or coordination or by the internal organisation of propositions.

The following, two consequent background spans illustrate this point:

1. Making my way along here with all despatch, I had just crossed a ditch which I knew to be very near the battery and (I) had just scrambled up the mound beyond the ditch, when I saw.....
2. the man sitting before me, his back was towards me, he had his arms folded and he was nodding forward, heavy with sleep.

In the first span, the narrator was the only participant 'I' and 'my' refer to him. He was describing the way to the Battery. This was referred to by the lexical items: way, crossed, the mound, a ditch, and scrambled. Both coordination and subordination are used.

In the second span there are two participants the narrator and the man, who are indicated by personal pronouns 'me' and 'he', 'his'. The span describes the man's posture as the narrator sees it which is expressed by lexical items: 'sitting', 'back', 'towards', 'arms', 'nodding'. While only coordination is used to connect clauses here.

4.4.3.1 Labov and Waletzky's analysis of narrative texts:

The relationships between different types of span can be accounted for with reference to Labov and Waletzky's analy-

sis of narrative texts (1967). Their analysis represents an interesting attempt to relate a formal analysis of a text to a functional one. They define a narrative text as one containing at least one pair of 'narrative clauses'. These are independent syntactic structures referring to events in the order in which these events took place in time. The order of narrative clauses in a text cannot be altered without the interpretation of the sequence of events being altered too. Yet narrative texts typically contain units which are not 'narrative clauses', according to the definition above, such as background, evaluation, setting units etc., or what Grimes called 'non-events' information. Labov and Waletzky categorise the different clause types that occur in a narrative text according to the amount of freedom with which a clause can be moved in the text without the overall meaning being changed. This can be illustrated by one of their examples:

X and I crossed the street
Y and they was catchin' up to me
Z and I tripped, man

In this text, Clauses X and Y cannot be moved relative to each other without the interpretation of the sequence of events being altered. They are thus "narrative clauses". If one assumes that Y refers to a process taking place all through the time referred to by the text then Y can be moved or 'displaced' to a position preceding X or Z without the meaning of the text being altered. There are 3 main types of clauses (in Labov and Waletzky), distinguished according to the 'displacement range' permitted to a clause:

1. Narrative clauses: Fixed in relation to one another.
2. Free clauses: can be moved to any position in the text, though they pointed out that this will often involve changes of anaphoric reference.
3. Restricted clauses: these are less fixed than narrative clauses and can be moved round one or more clauses but not as unrestricted as free clauses.

Where this distinction is followed in this study, in the analysis of span structure, it was revealed that "event spans" contain narrative clauses, "Setting spans" contain either restricted or free clauses; "Background, Collateral, Evaluation spans" contain restricted clauses. Performative spans sometimes contain restricted and sometimes narrative clauses. Labov and Waletzky (1967) consider the "a and then b" relationship between "narrative clauses" to be the prime characteristic of narratives.

4.4.3.2 Primary sequence:

Labov and Waletzky then proceed to establish what they call "primary sequence" the basic form underlying all narrative texts. This basic form is arrived at by the shifting of each clause as close to the beginning of the text as possible without altering the semantic interpretation of temporal sequence. Thus all "free clauses" are moved to the front of the text followed by "restricted clauses" and "narrative clauses" come last. This has the effect of isolating "narrative clauses" and of making explicit the relationship between them.

They consider this primary sequence as representing the basic underlying form of the narrative, by implication the "simplest form". The linear form selected by the narrator from the surface form.

4.4.4 Episodes:

Episodes are the third rank higher up the scale. An episode consists of a series of spans. Yet while spans are made up of "motifs" of the same class, episodes are made up of a combination of different classes of spans. However, episodes are not simply "strings of spans but they have their own characteristics". (Grimes 1975:109) In the text under study a chapter corresponds to an episode. Rather crucial to the characterisation of episodes are indicators of time and place as Van-Dijk says:

"any sequence of propositions in a narrative thus must explicitly receive an indicator determining the time and place of the action with respect to preceding and following actions."

(Van-Dijk 1977)

This semantic "time and place" indicator is realised in narratives by a "setting span" which usually occurs, very, early, in an "episode". When a setting span is established in one episode all other classes of spans are related to it, although they stand outside it. A change of episode very often involves changing (or redefining) the previous setting.

Corresponding to the natural order and nature of events and processes in empirical reality, an episode represents

"a unified set of events which occur in a certain place and time between certain participants."

(Van-Dijk 1977)

Therefore it does not only include a setting span but various classes of spans too. Event and background spans are always interspersed. Background spans interrupt events to give explanatory information which enables the reader to conceive the situation clearly. While evaluation and collateral information reflects the narrator's attitude and consequently directs the reader to adopt it too. The order in which they occur varies from one episode to the other, nevertheless, there are strong tendencies among spans to occur in a certain order.

1. An episode must include a setting span which may be different from the preceding one, or just an indication that the setting is not changed. This type of span occurs at the beginning of an episode. Very often there is an indication of a change in the setting at the end of an episode which is picked up at the beginning of the following episode to establish a new setting. A setting span is very often followed by a background span, though it may occasionally precede it.

2. "Event spans" comes after that in an episode, yet they very often alternate with performative, background and collateral. According to Labov and Waletzky's classification (1967), "Event spans" are fixed in relation to each other, i.e. they cannot be moved in the episode without the overall meaning being changed, and so are "performative spans". In this case the amount of freedom available to the writer/narrator, is limited to the three "restricted" span types, i.e. background, evaluation and collateral, which have a "restricted displacement range".
3. There is often an "event span" in the end of the episode which very often contain a "range" element marking a change of "setting". Sometimes this last event span is followed by a short "background span" giving explanatory information about it.

Generally speaking, this tendency of order seems to agree with Labov and Waletzky's "primary sequence", namely that "free clauses" come first, followed by "restricted clauses" and "narrative clauses" come last. Since "setting spans" tend to come very early in an episode. While background, collateral and "evaluative spans" intersperse with event and performative spans, there is a tendency of some event spans to occur finally in an episode.

Labov and Waletzky's analysis represents an interesting attempt to relate formal analysis of a text to a functional one. That is, first the clauses in the text are analysed formally in relationship to each other, the criteria being the amount of 'displacement' permitted them, then an underlying "deep structure" is postulated, which is used to explain how narrative texts deviate from this underlying structure.

4.4.5 Story:

The story is the highest unit of narrative discourse. It

consists of a series of episodes, which, according to Chatman (1974) and Labov (1972) are "chronologically ordered".

Labov (1972) divides a "story" into five sections which are defined according to function in the narrator/reader situation, and are given below in the order they generally appear in the text:

1. Orientation
2. Complication
3. Evaluation
4. Resolution
5. Coda.

"A complete story", Labov says, "begins with an orientation, proceeds to the complicating action, suspended at the focus of evaluation before the resolution, concludes with the resolution and returns the reader/listener to the present time with the coda." (1972:369)

Labov's subdivision of narrative discourse into these five components was mainly based on an analysis of extensive data of natural narratives. From the analysis of literary narrative undertaken in this study it becomes obvious that this subdivision corresponds very closely indeed to the kind of organisation found in the text under study, Great Expectations.

Here follows a discussion of these five components.

1. Orientation: seems to identify in some way the time, place, persons and their situation, and as a rule, occurs immediately before the narrative events. The orientation often includes an elaborate portrait of the main characters. It is common for orientation to be set apart by an independent textual unit such as a prologue or an opening chapter. Labov and Waletzky point out that children often omit this section in their narratives.

There are stories, however, which begin without complete or explicit orientation, these are called "in media res". If a story begins in media res this does not mean that it is not

oriented at all with respect to the reader. It means only that some (or all) of the orientation information is interwoven with the narrative events or is implied rather than asserted.

In Great Expectations, apart from what the first paragraph in the first chapter tells us about the narrator's first and family name, we are able to deduce from the following paragraph that "I" of the first episode, is a child who apparently has no family and who is staying with another family (his sister's) and who is very unhappy about it.

Generally speaking, the first two chapters are mainly about the story "orientation". Interwoven with the details contained in them, is some action which even explains more and more about them.

2. Complicating action and resolution: these are of course the "core of the narrative". The former begins with the first narrative event (in the speech act between the writer and the reader) and the latter ends with the last one. There are many stories which have no plot resolution. These are called open-ended stories. In "Great Expectations" the complicating action takes up quite a major part of the story, i.e. from episode 3 onwards to episode 39 which indicate the point where the complication has reached its climax. The plot resolution, too, is fairly long and it extends over episodes 43-58.

3. Evaluation: is considered by Labov to be the most important component in addition to the narrative action:

"to identify the evaluative portion of a narrative it is necessary to know why this narrative is felt to be tellable, in other words, why the events of the narrative are reportable."

(1972:371)

The evaluation section is usually concentrated between the complicating action and the resolution. In this "story" it takes up episodes 40-42 which concludes the complication and immediately follows the point where the complication has reached its maximum. The resolution in this case follows the evaluation and it extends over episodes 43-58.

However, evaluative devices are generally strung throughout the entire narrative forming what Labov calls "secondary structure", and preparing the reader for the evaluation section.

4. Coda: A coda's general function is to close off the sequence of complicating actions and indicating that none of the events that followed are important to the narrative. In addition to this mechanical function a good coda, says Labov:

"leaves the listener with a feeling of satisfaction and completeness that matters have been rounded off and accounted for."

(1972:365)

A story's coda may consist of the single word "Fin" or with the phrase "that was that". Frequently, however, a story may have an elaborate coda that explains, evaluates the story's outcome, the ultimate consequences of the story, or extend the story into the future so as to "bring the narrator and reader back to the point at which they entered the narrative" (p.365).

The last episode in "Great Expectations" is an elaborate coda, where the narrator "Pip" tells the reader of how he was reunited with "Estella" and how that leaves him happy with "no shadow of another parting".

Interestingly, the coda in Great Expectations is ambiguous. It can be read as indicating that it was the last parting because/and they did not marry; or that it was the last parting because they did marry. It seems suitably 'muted' after the

inner struggle that has taken them both through great pain. The narrator is now speaking from the point of view of his own present time having brought the reader back to the point at which he entered the narrative.

Like "orientation", codas are often set apart as a textual unit as was seen in the last section. Therefore they frequently involve a change in temporal perspective. The lengthy coda that makes up the final episode in Great Expectations is similarly introduced by a change in temporal perspective,

"For eleven years, I had not seen Joe nor
Biddy with my bodily eyes "

(p.489)

Relating "displacement range" to these functional sections, Labov and Waletzky pointed out that "orientation" often consists of free clauses, while complication and resolution consist of narrative clauses. The fact that the evaluation section consists of free or restricted clauses has the effect of disturbing the straightforward narrative sequence. In fact, Labov and Waletzky consider that the presence of this section is the main factor causing the narrative to diverge from the primary sequence.

Coda is an optional section, but when there is one in the end of a narrative it very often consists of "narrative clauses".

4.5 Discourse units in texts A and B:

The comparison between the two versions in terms of discourse units has revealed the following points:

4.5.1 Spans:

The following table shows the number of spans in each text.

<u>Span Types</u>	<u>A</u>	<u>B</u>
Setting	3	2
Event	12	7
Background	26	13
Evaluation	12	1
Collateral	2	1
Performative	7	1(+2 reported)

a. In text A the first two Setting spans come at the beginning of the episode. The first span indicates the time of the day in which the events of this episode take place, the place "the way to the marshes" and a description of the weather conditions "damp, wet, misty, etc.". The motifs contained in this span are interspersed, however, with other background and evaluation motifs. The second span is relatively shorter. It indicates a change of "place", since the narrator reached "the marshes". The third span, briefly indicates that the narrator reached his destination "at the battery".

In text B, however, the first span is a combination of information selected from the first and the second spans in A. It consists of 2 motifs. The first indicates the "time" and "the weather conditions", the second indicates the "place" "on the marshes" given in the second span in A. The second span indicates that the narrator reached his destination in the same way its equivalent in A does.

b. In text A there are 12 Event Spans while in B there are 7. In text B, spans 1, 9, 10, 11, 12 are cut out. Span 1 deals with the boy's watching the "wooden finger" as it dripped. Span 9 and 10 with the man's eating his food, Span 11 and 12 with the man's reaction when he heard of the young man being on the marshes. Moreover, three other event spans in text A (6, 7, 8) are put together in one span in B (4). These three spans deal with the man's behaviour since he saw the food, and until he settled down to eat it. In text A this information is continuously interrupted by other types of information: perform-

mative, background and evaluation. In B, however, this interrupting information is cut out, which explains the reason why it is organised into one span.

In text B, there are two spans (5, 6) which are categorised as performative spans in A, but are reported (in indirect discourse) in B.

c. There are 26 Background Spans in text A and 13 in B. There are 13 spans cut out completely in text B: Span (1) describes the weather conditions at a previous time and before the boy starts his journey; (2) describes the ox's movements as he saw the boy; (5) explains the reason why the boy knew his way to the battery so well; (10) gives a generalised statement about the young man's appearance; (15) describes the man's fear while he is eating; (17) describes the similarity between the man's manner of eating and a dog's; (18) explains the boy's feeling as he informs him about the young man; (19) describes the man's reaction to the news; (20, 21, 22, 23) explains in detail the boy's state of mind as he was describing the young man; (24) describes the man's furious filing of the iron on his leg.

There are certain spans which are grouped together, this of course involves cutting out certain motifs and selecting others to be grouped together in one span. 4 and 6 in A which describe the boy's journey to "the battery" are put together into 2 in B; 25 and 26 in A which describes the boy's fear of the young man and his decision to leave him are put together into one span (13) in B.

There are two other spans in B (11, 12) which are classified as performative spans in A, but are reported (as indirect discourse) in B.

d. In text A there are 12 Evaluation spans, while in B there is one span which corresponds to span 3 in A. The deleted spans partly deal with the boy's state of mind and his feeling of guilt as he started his journey to meet the runaway convict for whom he had stolen the food and the file;

and partly with the boy's feeling pity for the man's hunger and desolation which is expressed by a series of comparative statements scattered throughout the episode. Of these spans only one span (4) is independent in that it is not contextually or structurally subordinate to other types of span. It represents the narrator's general feeling of guilt as a result of what he had done before the events of this episode take place.

e. There are 2 Collateral spans in A of which only one is retained in B. The second deals with the boy's expectation as to what the man may have done out of hunger but did not. This last span is deleted in B.

f. There are 7 performative spans in A and 3 in B. There are four spans deleted here: (1) which is a short interaction between the boy and the man, where the man is inquiring about the drink the boy brought for him; (2) is a relatively longer interaction where the boy expresses his concern as to the man's condition as he was lying on the marshes all night; in (4) the boy expresses his content as the man enjoys his food and drink; and (6) where the man informs the boy of his state of mind when he heard the firing at night. Spans 5 and 7 in A, however, are reported in B. They deal with the boy's telling the man of his meeting with the young man on the marshes and the man's reaction to that.

g. Participants: The number of participants is not affected by the reduction of spans in text B. In both texts there are three participants, the boy (the narrator), the convict, and the young man.

h. Generally speaking, spans in text B are shorter than those in A. One exception to that is event spans which seem of the same length or sometimes longer in the simplified version. This could be due to the fact that most of the background, evaluation and performative information that interrupt Events in A are deleted in B and therefore, event motifs are closer to each other than in Text B. Here is an example for illustration:

A: ...¹" I handed him the file and he laid it down on the grass, ²it occurred to me he would have tried to eat it if he had not seen my bundle. ³He did not turn me upside down, this time, to get at what I had, but left me right side upwards while ⁴I opened the bundle and emptied my pockets.

⁵"What's in the bottle, boy? said he.

"Brandy", said I

⁶He was already handing mincemeat down his throat in the most curious manner - ⁷more like a man who was putting it away somewhere in a violent hurry, than a man who was eating it - but ⁸he left off to take some of the liquor. He shivered all the while, ⁹so violently, ¹⁰that it was quite as much as he could to keep the neck of the bottle between his teeth, without biting it off.

¹⁰"I think you have got the ague" said I

"I'm much of your opinion, boy" said he.

"It's bad enough here" I told him

¹¹He was gabbing mincemeat, meatbone, bread, cheese, and pork pie, all at once: ¹²staring distrustfully while he did so at the mist all round us, and often stopping - even stopping his jaws - to listen.

(p.49-50)

This example can be represented as follows:

1 Event 2 Collateral 3 Background 4 Event
5 Performative 6 Event 7 Evaluation 8 Event
9 Evaluation 10 Performative 11 Event 12 Background

B: ¹"No sooner had I opened my bundle and emptied my pockets than he started eating in a violent hurry, but he left off to take some of the brandy. He shivered as he swallowed mincemeat, bread, cheese, and pork pie, all at once, ² staring distrustfully and often stopping to listen.

(p. 16)

This can be represented as follows:

1 Event 2 Background

Event span in B expresses the information given in units 4, 6, 8, and 11 in text A.

The previous discussion of "spans" indicates that simplification results in certain types of information being cut out completely and others being reduced. This points out to the problem of "selection" mentioned above in (3.2) and (3.3) which will be discussed in some detail below (4.6.1 and 4.6.2).

4.5.2 Episode:

Basically, the order of spans within the episode is not much affected by simplification. The order in which the retained spans in text B occurred is very much the same as the original. Yet, while in the OV spans seem to be greatly interwoven in each other, in the SV, spans gained some independence since other interrupting (classes of) span are cut out, which makes them more readily identifiable.

However, the ratio of some classes of spans to the total number of spans in the episode has changed, e.g. while event spans represent 19% of the total number of spans in A, in B they represent 28%; Background spans represent 42% in A and 52% in B; Collateral spans represent 4% in A and 4% in B; Setting spans represent 5% in A and 8% in B. Some spans however have decreased such as evaluation spans which represent 19% in A and 4% in B, and Performative spans which represent 11% in A and 4% in B.

The major difference between the two texts is in the increase in Event and Background spans on the one hand and in the decrease in Evaluation spans on the other.

4.5.3 Story:

Within the story, there are 10 episodes which are completely deleted. These episodes are concerned with First: Pip's state of mind after the man was taken to prison, when he met his messenger, when he was apprenticed to Joe and when he left his village and home to live in London; and Second: minor incidents which have little bearing on the main cause of events

in the story such as: his (Pip's) having dinner with Wemmick, his guardian's clerk, his going to theatre with an old friend from the village, his settling his accounts with his flat-mate and his trying to trace Estella's parentage.

Some episodes also are combined together after being reduced in length. Yet generally speaking, the deletion and reduction of such episodes did not seem to affect the way in which the five functional sections contained in the story (4.4.4.) are sequenced. Two sections, however, are greatly reduced. The evaluation section which is given in episodes (40-42) in A is reduced to a part of episode 23 in B. The Coda which is given in the last episode (59) in A takes part of the last episode (32) in B.

4.6 Comments:

4.6.1 Hierarchical structure of types of information:

The above comparison suggests that it is possible, on the episode level, to view narrative texts as being structured hierarchically with Event spans on top, followed by Setting and Background spans, and then at a lower level come Performative, Collateral and Evaluation. Thus the hierarchical structure of information types in an episode could be represented as follows:

Events	
Setting	Background
Performative, Collateral, Evaluation	

Whether it is possible to claim that such a hierarchical structure reflects the intention of the writer, i.e. Event spans represent the most important information in the narrative and that items lower in the tree represent less essential parts of his message is speculative. Nevertheless, it can be plausibly argued that Setting and Background information at least, are intended to be subordinate in importance to events and actions which they locate and support, and that such information as Performative which gives an indirect account of events and par-

ticipants through dialogues, Collateral and Evaluation spans which express opinions on certain events and participants are still less essential than the previous classes of spans.

Both Setting and Background spans seem to be closely linked with Events, and therefore are more essential to them than any of the other classes of spans; Setting spans locate and time events and provide information about the external context in which events take place while Background spans provide explanatory and descriptive information about participants and events and therefore provide the internal context in which events take place.

Performative information, however, is multi-functional (4.1.7) What the speaker says can have almost any function: informative, explanatory, evaluative, directive... etc. Yet very often Performatives provide explanatory information about participants, for while in most narrative texts information about participants are given in the author's voice in the narrative parts represented by background spans, in first-person narratives performatives become a substitute for explicit explanations of characters. In this case, they provide two kinds of information: First, the speech characteristics help in identifying the participant with some recognisable, social, regional or occupational group; Second, the speech content exposes his internal thoughts, ideas and attitudes and distinguishes him as a unique individual (Pascal 1977). Such information therefore throws the burden of character-assessment on the reader. In this case Background spans are mainly concerned with external descriptions of participants' behaviour which is accessible to the narrator.

Evaluation and Collateral information are almost always subordinate to any of the other classes of span, comparing and evaluating them. Here is an example:

1. A: "It was a rimy morning and very damp. I had seen the damp lying on the outside of my little window, as if some goblin had been crying there all night, and using the window as a pocket-handkerchief.

(p.48).

which can be represented as follows:

Setting —
 Background —
 Evaluation.

Compare this with:

B: "It was a frosty morning and very damp."

(p.15)

which represents a "setting" span, while the other two spans are cut out.

Some support for the view that Event spans represent the most important information in a narrative text can be found in Labov and Waletzky (1967) who consider "narrative clauses" representing events as the "prime characteristic of narratives" and also in Van Dijk (1975):

"..... in narratives, events and action descriptions are more important than state descriptions."

Without "events and action categories", he said, we would produce a linguistically acceptable (interpretable) discourse, but such a discourse would have "no point" and would no longer be regarded as a narrative but some sort of socio-economic report (1975:154).

His comment, on the other hand, supports the assumption made earlier that "Event information" may be regarded by the writer (and simplifier) as more important than Background information, "state descriptions" in his terms, and Setting information as stated here:

"Characterizing properties of times, places, backgrounds, characters may be given throughout the whole story, thus either conditioning or explaining certain actions and events."

(Van-Dijk 1975)

If the view given here about the relative importance of different types of information in narrative discourse is accepted.

then it is not implausible to claim that a supportive or evaluative information is subordinate in total importance to the "Events" they support, evaluate and condition, and it would be possible then to justify the fact that in simplification such information is likely to be greatly reduced.

The level of importance assigned to "evaluations", which is based on the previous comparison of the two texts under study, does not seem to agree with Labov's statement mentioned earlier (4.1.5) that:

"..... evaluation is the most important component in addition to the narrative action."

(Labov 1972)

For Labov, Evaluation is:

"the means used by the narrator to indicate the point of the narrative, its *raison d'être*: why it was told and what the narrator was getting at."

(1972:366)

Though the evaluation of a narrative is usually given in one section preceding the resolution, yet Labov notes that evaluative devices should be strung throughout the entire narrative, forming what he calls "a secondary structure". The lack of such information, however, leaves the reader wondering as to the author's purpose in telling the story.

The level of importance assigned to "performatives" in the previous discussion does not seem to agree with the fact that in first-person narratives, where it is impossible to attribute to the narrator the power of knowing the unexpressed thoughts of another character than himself, the chief source of information about the participants' inner thoughts is through what they actually say. In this type of narrative, "performative" information has an important function in relation to participants' characterisation. This seems to agree with Pascal's earlier comment and with Fridriksson's view of the importance of "performative" information to the coherence of narrative discourse, given in his thesis.

"Characterisation is carried out through dialogues at various points in the novel.... omitting certain dialogues makes certain events unexplainable to the reader."

.. (1979:40)

On the other hand, the fact that Setting spans are regarded as relatively important does not agree with results obtained by Labov and Waletzky (1967) that

"children tend to omit "orientation" in their narratives"

nor with those obtained by Hoey (1971) who commented that examination of students work indicates that they are inclined to ignore the "situation" part (p.10) which, of course, performs the same general function as Labov and Waletzky's "orientation". Both "orientation" section at the beginning of the narrative and the "setting spans" in episodes are the least affected by simplification. In the case of Hoey, however, it could be argued that the student, in writing a report about a certain experiment, may assume that information about the situation where an experiment was done is known to both the examiner and himself and therefore is of no relevance to the report.

Labov and Waletzky are mainly concerned with the analysis of oral (natural) narratives and it may be the case that the speaker drops this part of the narration on the assumption that the listener is familiar with the setting and participants or is capable of inferring such information from his narration.

If their argument is acceptable, however, this could justify the fact that in written narrative discourse information about the "setting" and "orientation" is considered to be relatively more important, since the reader depends mainly on the text to provide him with the context, whether internal or external, in which events occur.

4.6.2. Information centres:

On a lower level, it is possible to view each span as containing a centre which expresses the most important information in

that unit, while the rest of the span contains relatively more predictable information. Here is an example for illustration:

1. Background span:

A: "I knew my way to the Battery pretty straight for I had been there on Sunday with Joe, and Joe, sitting on an old gun told me that when I was 'prentice to him regularly bound we would have such larks together."

(p.49)

The first motif seems to express the most important information, while the four following clauses give explanation for that statement. "Important" information therefore, corresponds to "new" information which can not be deleted from the text without affecting the general meaning of the span or as Van-Dijk puts it:

"the information which would provide the necessary presuppositions for the interpretation of subsequent sequences."

(1977:156)

Halliday (1967) points out that each information unit contains at least one centre and that in addition to having to decide on the information content of each discourse unit and how it is to be organised and presented, the author has also

" to designate the part of the message he wishes to be interpreted as informative."

(1967:205)

In English, the centre of an information unit of the size of a clause is identified by intonational prominence. In longer stretches of discourse, however, such a centre is less readily identifiable. It is only identified with reference to the text that has gone before and the situation, as Halliday (1967) says:

"something in the unit has to be picked out as its centre, if only in relative terms."

This is of particular importance to simplification. A simplifier who aims at shortness as well as conciseness is likely

to "select" the most important information, i.e. "information centres", in different discourse units and dispose of the less important information as redundant. In fact, this is what has been noted from the comparison made between the two versions of the text under study. The Background span cited earlier offers an example of this, where only the first clause is retained in the simplified version while the rest of the span is deleted. The following Setting span is another example:

- A: "It was a rimy morning and very damp.....
 The damp (was) lying on the bare hedges
 and spare grass.....
 On every rail and gate wet lay clammy..
 The marsh-mist was so thick....."

The most important information here seems to be expressed in the first statement while the rest of the span gives details about that generalisation. In B, however, it is the first motif which is retained while the rest of the span is deleted.

It has also been noted that a span may have more than one centre, e.g.:

- A: "¹He was awfully cold, ² to be sure, I half expected to see him drop down before my face ³and die of deadly cold. ⁴His eyes looked so awfully hungry, too, ⁵ that ⁶when I handed him the file ⁷ and he laid it down on the grass it occurred to me he would have tried to eat it

(p.49)

In this span there are two information centres, according to the previous definition, the first is represented by (1) which is then followed by less unpredictable information (once the first motif is introduced); the second is represented by (4) which is again followed by relatively predictable material.

The second information centre (4) is used to communicate information that is relatively unpredictable yet is dependent in some way on the first centre (1)

In the simplified version it is the two information centres underlined above that are retained. The rest of the span is deleted:

B: He was awfully cold and his eyes looked awfully hungry.

(p.15)

The question as to which part of an information unit may be identified as the centre and which is not will be explained in Chapter 5 where a fuller discussion of the logical and temporal relationships between units is made.

However, the fact that, in simplification, or at least in the simplified version under study, information units consists mainly of "new/important" information while more predictable information tends to be deleted, raises another question which relates to information rate:

"The natural tendency is for the author to make his information units short when his rate of information introduction is high. On the other hand, when the rate of his information is low, the tendency is for the information units to be long."

(Grimes 1975)

In the OV under study, the rate of information flow is relatively low, where the author presents his "content" in long information units which consists of "new" information at the centre and more predictable information to support it. In the SV however the rate of information is higher. Information units are shorter consisting mainly of "new" information which may or may not be accompanied by auxiliary or supporting information. In this text redundancy is kept to a minimum which recalls Schlesinger's comment (in 1.5.1) that a

" a text composed of short sentences may contain less redundancy than an equivalent text with long sentences....."

(1968:71)

to which he further added that "lack of redundancy causes difficulties in reading."

On the other hand, it has been suggested earlier (1.5.4) that long sentences tend to contain difficult "content", and that content is one of the major factors in reading comprehension.

What seems to be needed here is a compromise between short concise information units with high information flow which lacks redundancy and long discourse units with low information flow which may contain difficult content.

4.6.3 Coherence:

It has been argued earlier (2.2) that coherence is a semantic property of a discourse, based on the interpretation of each individual sentence relative to the interpretation of other sentences.

Van-Dijk (1972) defines "coherence relations" in narrative discourse in terms of the referential identity of individuals, and the properties assigned to them. He further points out that:

"in a wider sense, identity is also involved when some fact holds in the same possible world at the same place and/or at the same time."

(1977:93)

Similarly, Chatman (1975) points out that in narrative discourse,

"Coherence has only the condition that the narrative participants remain the same from one event to the next."

(1975:305)

But in a discourse, a writer does not continuously say the same thing about the same individuals, a coherent discourse will also have relations of difference and change. In a certain episode a writer may introduce new participants into the universe of discourse, or assign new properties in relation to participants which have already been introduced. Such differences of course are subject to semantic constraints. It seems reasonable to require that newly introduced participants should be related to at least one of the participants already present. Similarly, it may be expected that assigned properties are also related to properties already assigned. And finally a change of situation or time will also be con-

strained by some accessibility relations to the situation already established. In other words, changes must somehow be homogeneous. That is, they must be carried out within the bounds of a higher level principle determining individuals and properties of the universe of discourse.

Thus, the coherence of a narrative discourse depends primarily on the homogeneity between different types of information: setting, participants, descriptions, events etc., on the one hand, and on their relationships with information which is already given, on the other.

It has been pointed out earlier (4.5.1 and 4.6.1) during our comparison of the two texts under study that some "spans" representing certain types of information are deleted in the simplified version while others are greatly reduced, which raises the question as to the effect the simplification process may have on discourse coherence. According to Van-Dijk's definition, the two versions represent coherent discourses with respect to identity of participants throughout the episode, identity of place "the Battery and the marshes" and identity of time "in the morning". They differ significantly, however, in the way each builds up certain images about participants involved, through various recurrent information in the episode. Here is an example to show how a particular conclusion can be reached about "the man" from his description and how this may be affected by simplification:

- A: - "he was dressed in coarse grey".
 - ".... had a great iron on his leg."
 - "he was lame, cold, hoarse "
 - ".... hugging himself and limping to and fro."
 - "he was awfully cold"
 - "his eyes looked awfully hungry"
 - ".... staring distrustfully."
 - ".... stopping to listen, even stopping his jaws."

- "he was too unsettled in his mind over it."
- ".... I noticed a similarity between the dog's way of eating and the man's"
- ".... striking his cheek mercilessly."
- ".... filing at his iron like a madman."

Here the man is explicitly depicted as a runaway convict who is cold, hungry and afraid on the one hand and who has rough coarse manners on the other. This interpretation is the result of conclusions drawn from the previous items (based on our knowledge of the world), which is confirmed from other types of information such as "Event information":

- he was gobbling mincemeat all at once
- he took strong sharp sudden bites
- he swallowed or rather snapped every mouthful
- he looked sideways
- he shivered all the while
- he did not turn me upside down this time

In the SV, however, "Background" information describing the man are as follows:

- ".... dressed in coarse grey"
- ".... had a great iron on his leg"
- "lame and shivering"
- ".... awfully cold"
- "....his eyes looked awfully hungry"
- ".... staring distrustfully"
- "... often stopping to listen"
- ".... filing at his iron like a madman."

Here it could also be concluded that the man is a convict who is cold, hungry and afraid too. Yet the reference to his dog-like manner of eating and his rough behaviour is eliminated, and so are other similar references in "Event" and "Evaluation" spans. It seems therefore, that SV retains items which represent the general characteristics of participants while information about their unique personal mannerisms is omitted throughout the episode. The importance of such information can be seen later in the narrative when the man's rough appearance and manners betray him in spite of his careful disguise.

The problem at issue, then, is to specify what items of information must be expressed (in SV) in order for the discourse to be coherent and to formulate conditions which allow the deleted information to be recoverable from the context. The importance of such a procedure to the coherence of the discourse has been pointed out (in 3.3) where the deletion of certain "Performative" spans in SV has led to a misrepresentation of the relationship between the boy and the man, which is explicitly expressed in the OV.

4.6.4 Literary value:

It has been mentioned in the last section that coherence is a semantic property of a discourse based on the interpretation of each individual unit relative to the interpretation of the sequence. It may also be argued that the interpretation of an individual unit is the set of conclusions that can be drawn from that unit, obtainable on the basis of preceding context, the rules of the language as well as those requiring the knowledge of the world. Coherence of a narrative discourse, however, is based on the homogeneity of one type of information with the other types of information occurring simultaneously with it, and with other occurrences of the same type of information at various points in the discourse. It has to be emphasised, however, that although this homogeneity is necessary for the interpretation of the narrative as a coherent discourse it is particularly important for the text as a "literary" work.

The assumption underlying any narrative text (and indeed any literary work) is that it has a certain specific message, some kind of moral purpose; exploration of "man" or "the world" on some sort of "psychological" or social level.

According to Labov "Evaluation information" is the most important element in indicating a narrative message. By Evaluation he means

"the means used by the narrator to indicate the point of the narrative; its *raison d'être*: why it was told and what the narrator was getting at."

(1972:364)

He elaborates:

"There are many ways to tell the same story to make very different points, or to make no point at all. Pointless stories are met with the withering rejoinder, "So what? Every good narrator is continually warding off this question...."

(1972:366)

The identification of the "point of the narrative" or its message can thus be reached through the conclusions drawn from "Evaluation" spans in each and every episode and the "Evaluation section" following the "complication".

In comparing the two versions of "the third episode" in *Great Expectations*, it was noted that the two versions differ a great deal in the way they deal with "Evaluation" spans. For example, the conclusion that the narrator, that is, the boy, is feeling guilty for stealing the pie could be drawn from the following "evaluative" statements in A:

- "it seemed to my oppressed conscience like a phantom devoting me to the Hulks."
- "Everything seemed to turn at me".
- "This was very disagreeable to a guilty mind".
- "moved his head.... in such an accusatory manner."
- "who even had to my awakened conscience something of a clerical air."
- "Halloa young thief."
- "A boy with somebody else's pork pie."

together with the common knowledge that such an action as stealing is morally condemned.

The following "Evaluation span", however, explains what the boy feels towards the convict for whom he had stolen the food, the drink and the file.

- A: - "..... (the damp cold seemed riveted to my feet) as the iron was riveted to the leg of the man I was running to met."
- ".... as if he had never all night left hugging and limping."
- ".... I half expected to see him drop down before my face and die of deadly cold."
- ".... (He shivered ... so violently that) it was quite as much as could do to keep the neck of the bottle between his teeth without biting it of."
- ".... (looked awfully hungry), it occurred to me he would have tried to eat it (the file) if he had not seen my bundle."
- ".... as if he thought there was danger in every direction of somebody's coming to take the pie away."
- "Pitying his desolation..... "
- ".... I said timidly after a silence during which I hesitated as to the politeness of the remark..... "
- ".... It was the certainty of this fact that impelled me to offer the hint."
- ".... anxious to put this delicately...."

The previous "evaluative" statements implicitly indicate the boy's fear and compassion for the man's conditions, which partly justifies his action. This is again confirmed by the two "performative" spans indicating the boy's concern for the man's health discussed earlier in 3.3, and which are left out too in the SV.

It could be argued, therefore, that if such "evaluative" information (and justification) is not accessible to the reader of the text (as in the case of the SV), he will not be in a position to interpret adequately the intended message of such a text, and may therefore interpret the text at some

point as non-coherent, e.g. if the reader does not possess information about what the boy feels after he had stolen the pie and what he feels towards "the convict", he will not be able to adequately understand the character of the boy or to justify his behaviour and relationship with the convict later in the narrative.

Such evaluative information, like other common knowledge facts corresponds to a high degree of arbitrariness in the interpretation of texts. The lack of an explicit guidance as to the narrator's intended interpretation allows the reader to impose his own interpretation which may differ from that intended by the narrator/writer. In the episode under study, by leaving out any indication as to the boy's sense of guilt, the reader may simply assume that he is a heartless boy with no conscience nor feelings towards the people who brought him up, and consequently would not understand the change in his character brought about by his being rich later in the narrative, which is generally what the whole narrative is about.

It could be suggested, therefore, that some guidance as to the way the original writer means his participants and action to be interpreted is necessary. By leaving out "evaluation" information completely, the simplifier is leaving the task of assessing characters and actions to the reader which may contradict with what the original author intended them to be seen and the reader may then miss the whole point of the discourse.

4.7 Conclusions:

It may be assumed from the previous discussion that the type of categories determining the overall structure of a discourse at the same time identify the type of discourse involved. They enable us to differentiate between a "story" and a "political article" for example. These categories are not only structural determining the hierarchical ordering of units of a discourse but also conceptual (semantic) they stipulate what the discourse is about.

The recognition of such an overall (global) structure, together with the categories which it contains is important not only for comprehension/interpretation of discourse but also for production/simplification. In order to interpret/simplify a story the reader/simplifier must already have a "schema" or "plan" available for the global semantic organisation of the discourse under study. This organisational principle will also determine the hierarchy according to which levels of importance are assigned to different units of discourse and consequently which of them may be reduced in the process of simplification without affecting the discourse coherence nor its narrative value.

It has been pointed out earlier (in 3.3) however, that "temporal" sequence is a fundamental dimension of narrative structure.

"It is that temporal sequence that distinguishes narrative from other discourse structures... the order of time in a story is natural, that is, it follows the normal rules of the physical universe, Event A happens and then Event B. the discourse on the other hand may arrange them in its own sequence without loss of logic."

(Chatman 1975:317)

What this comment suggests is that a narrative discourse, in addition to being linearly structured according to certain logical principles, like any other type of discourse, is also temporally structured. Moreover, this temporal linear sequence may follow the normal (natural) rules of the physical universe or may deviate from it without affecting the logical sequence of events.

In the next chapter, an investigation is made of the "temporal" and "logical" relationships between sequences of sentences. The purpose of such an investigation is to find out the effect of simplification on these two types of organisation.

CHAPTER VSimplification And Organisational Principles in Narrative Discourse.

In this chapter we shall be concerned with the way sequences of sentences in narrative discourse are organised both "naturally" and "logically" and the effect of simplification on such organisation,

"Connection among sentences can be obscured or facilitated depending on the organisation of a text."

(Frase 1972:354)

Narrative discourse can be organised in such a way that the linear sequence of sentences and clauses correspond to the sequence in time of the events described. This type of organisation is usually described as controlled by "natural principles". According to Lackstrom, Selinker and Trimble (1972) natural principles are

"those writing techniques which the author is virtually forced to use by the nature of his material."

(1972:8)

Other forms of organisation relate to quite different (types of) principles. The relation of assertion-exemplification for example, is imposed by the speaker/writer upon two or more propositions. It depends on his view of the world, which may in this respect be idiosyncratic. Moreover, the function of such relationships is often to win acceptance of a speaker's message from a particular audience. An "exemplification" for instance often functions to clarify or substantiate a previous statement. Thus, relationships of this sort are purely rhetorical and dependent on beliefs and attitudes in a speech situation than are forms of organisation related to "natural" principles. Following Lackstrom, Selinker and Trimble (1972) this type of organisation is described as controlled by "logical principles."

In this study, relationships between clauses/sentences will be regarded as the "cognitive process" whereby we interpret the meaning of a sentence or a group of sentences in the light of its adjoining sentences or group of sentences (Winter 1977). As Bellert puts it:

"An adequate interpretation of an utterance occurring in a discourse requires the knowledge of the preceding context."

(Bellert 1970)

What we are concerned with, therefore, is not just relationships between pairs of sentences but rather with

"The cognitive processes of the mind which come into operation the moment any two sentences are placed together for the purpose of communicating meaningfully with the hearer or reader."

(Winter 1977:4-5)

The function of this particular cognitive process is to understand what these two sentences mean in terms of each other within a given context. It makes sense of sentences in sequences. This sense has various interpretations which are expressed as inter-sentential relationships as will be seen in this chapter.

5.1 "Natural" organisation:

Two forms of textual organisation are controlled by "natural" principles, Temporal and Spatial order.

5.1.1 Temporal Order:

One of the seemingly simpler forms of textual organisation is that referred to by rhetoricians and others as "chronological" or "time" order. In accordance with this principle, events and processes are described in the order in which they occur in time. That is, the event which happens first is described first in the linear ordering of the text, the second event is mentioned second, and so on. If we suppose, for example that

Peter's activities one day can be divided into three main events, namely a. going to town, b. buying a bar of chocolate, c. walking along the street, a then b then c. Then a chronologically ordered text describing these activities might be organised as:

Peter went into town, He bought a bar of chocolate. He walked along the street.

or as,

After going into town, Peter bought a bar of chocolate then walked along the street.

There are other possibilities, however, if the chronological order were being followed, then the text would not be organised in the following way:

Peter went into town. Before walking down the street he bought a bar of chocolate.

Chronological order is the textual organisation formed by the rhetoricians for narrative purposes. Thus McCrimmon (1963) describes it as "natural for narration" (p.77). Lackstrom, Selinker and Trimble (1972) claim that this order is "virtually forced on the scientific writer in certain circumstances" (p.8). While Urquhart who investigates the effect of this type of organisation on reading comprehension states:

"The writer's choice of ordering is affected in an obvious way by a particular feature of the language. The way in which the interpretation of clause order is linked to the sequential order of the work being described reinforces the choice of a particular type of textual organisation. Not all forms of textual organisation receive this kind of reinforcement."

(1977:70)

As a principle of organisation, chronological order seems a suitable one to begin with for these reasons:

1. It is typically found in the texts which are the principle interest of this study, narratives.

2. This form of organisation is comparatively easy to analyse. Within limits most people will agree as to whether event 'a' preceded or followed event 'b', so the problem of whether the order of clauses parallels the order of events seems a fairly simple one to resolve.
3. It appears to be the case that in English in the case of the lack of any overt marking of time relationships, events are interpreted as having happened in the order in which they are described. For example; the sentence:

He got up and lit a cigarette

is taken to mean that he first got up and then lit a cigarette. A similar meaning results when the two clauses are not conjoined by 'and' but form contiguous sentences.

5.1.1.1 Grammatical approaches:

Recently some of the generative semanticists have discussed the meaning of 'and' when it conjoins two time clauses. One of the main problems is that while a sentence such as:

She was laughing and dancing

means the same, in all obvious respects, as the sentence:

She was dancing and laughing.

a sentence such as:

He got up and lit a cigarette

does not mean the same as the sentence,

He lit a cigarette and got up.

In the first example, in which the order of the two clauses can be reversed without the meaning being altered, "and" is said to be used "symmetrically", while in the second example, it is used "asymmetrically". Lakoff and Peters (1969) suggest that "asymmetric and" means "and then" and is derived from a deep structure,

S and S, after it.

The "after it" would later be deleted.

Robin Lakoff (1971) objects that "after" is not fully analysed and contains elements of "and", and that Lakoff and Peters argument is therefore circular. A more obvious objection is that the suggested deep structure appears to be merely an ad hoc spelling out of the meaning of the surface structure. There is nothing in the account to explain which conjuncts will appear with "asymmetric and" and which with 'symmetric and'.

McCawly (1971) attempts to deal with the problem in a quite different way, since he wishes to avoid having two different meanings of 'and'. He argues that 'tense' should be regarded as "a verb", and that this verb refers to the time of the clause which the verb is in. In narrative chains, i.e. strings of conjuncts referring to consecutive events, each past tense, refers to a time shortly after the time referred to by the tense of the previous verb. That is, each conjunct supplies the time reference for the tense of the verb in the subsequent conjunct.

McCawly goes on to claim that the "tense verb" refers to time in a manner analogous to the way in which pronouns refer to their noun referents. With regard to pronouns, Longacker (1969) has pointed out that, in separate conjoined structures, the pronoun must follow its noun referent, e.g. the sentence.

'Penelope slandered him and cursed Peter'

is ungrammatical, given the condition that 'him' and "Peter" have the same referent. McCawly applies this argument to the "tense verb". In narrative chains such as:

"The Lone Ranger broke the window, took aim
pulled the trigger".

in which each clause is a separate conjoin structure, the first conjoin supplies the time reference for the tense verb of the

second conjoin and hence the first conjunct must precede the second and the second precede the third.

McCawly's account constitutes a claim that, in the absence of any overt time markers, a conjunct describing one event must, for syntactic reasons, precede a conjunct describing a subsequent event. Whatever its merits, the argument does not explain why some conjoined structures are interpreted as describing consecutive events while others, sometimes containing the same verbs, are interpreted as describing events happening simultaneously. That is, it does not explain, for example, why the sentence,

The baby lay in its pram and laughed, kicked,
and squealed with pleasure.

is probably to be interpreted as describing simultaneous actions, while the sentence,

John sat back in the chair and laughed at
Mary and she kicked him and squealed with
agony

is interpreted as a series of consecutive events.

Robin Lakoff (1971) tries to account for the problem in terms of (a) "topics" common to each conjunct and (b) "presuppositions". According to her 'and' joins conjuncts which have a common topic, this consisting of an element which is identical in each conjunct. Thus the conjuncts in the sentence,

John eats apples and his brother drives a
Ford.

share the topic 'John' since John's brother has "something to do with John". If the conjuncts do not appear to share such a common topic, then one must be supplied by a "presupposition".

Here's one of Lakoff's examples:

John wants to make Peking Duck and I know
that the A. & P. is having a sale on Hoisin
sauce.

requires that the listener supplies the presupposition that "Hoisin sauce" is used for making Peking Duck. Since such presuppositions obviously depend on the general knowledge of the listener, Lakoff has to admit that sentences may be more 'acceptable' to some listener than to others. (p.120)

Turning to asymmetric 'and', Lakoff offers two arguments which she does not appear to differentiate. The first is that in such cases the first conjunct is "presupposed" by the second. Thus in the example,

The police came in and everyone swallowed
their cigarettes.

The statement that everyone swallowed their cigarettes 'presupposes' that the police came in, since to state the second but to deny the first is to render the sentence 'bizarre' (p.128). This appears to account to a claim that not only must there have been a reason for everyone to swallow their cigarettes but that only one possible reason exists, namely the entry of the police. Whatever may be said in favour of this argument, it hardly seems to deal with facts about language or, in particular, grammar.

Lakoff's other argument, which at first sight seems more plausible is that in the case of 'asymmetric' and, the listener supplies a presupposition that the first conjunct either caused the second or preceded it in time. Thus the sentence,

'Harry pressed a button and 800,000 people
died'

is rendered "acceptable" if the listener presupposes that event (1) caused event (2).

The following criticisms can be made of Lakoff's argument:

1. As Kempson (1973) points out in a very critical review, Lakoff's use of "presuppositions" is so vague and all inclusive as to be virtually useless. Lakoff often appears to use the term as equivalent to "assumption". Thus she claims that

"John has a Ph.D. in Linguistics" presupposes that John can read and write. But if we do have such an assumption, we do it by virtue of our knowledge of the world.

2. Kempson also points out that the results of appealing to such assumptions - often, in Lakoff's case, assumptions shared by only a minority of speakers - in order to decide on the grammaticality of sentences, is to render the grammar non-predictive.

3. Lakoff's argument seems incapable of handling the problem of asymmetric 'and' in her own terms. She implies that we only resort to presupposition where there is no overt 'topic'. But in that case, the sentence,

Harry drove off in his car, and robbed a bank.

requires no presupposition to justify the conjunction since the conjuncts share an obvious common topic in Lakoff's terms, either "Harry" or "What Harry did". Hence a presupposition of temporal priority is here supplied in addition to the topic it was meant to provide.

On the other hand, if a presupposition of the temporal priority of one conjunct is sufficient to make a sentence acceptable then the sentence,

The police came in and everyone swallowed
their apple sauce

is just as acceptable as,

The police came in and everyone swallowed
their cigarettes.

Although Lakoff, replying on presuppositions of causality, considers the first as "relatively less grammatical" than the second (p.130).

"And" as a marker of discourse relationship:

Kempson (1973) suggests that since the sentence,

The Lone Ranger mounted his horse and rode away.

contains the same time relationship between conjuncts as

The Lone Ranger mounted his horse. He rode away.

'and' is best handled as marking a discourse relationship. She cites Grice (1968) who has argued for the notion of "conversational implications" in speech. Grice suggests a "co-operative principle" in discourse, operating in such a way that "each participant (in talk-exchange) recognises in them, to some extent, a common purpose or set of purposes" (p.45).

He then introduces a group of maxims, related to cooperative principle, one of which is "Be relevant". In accordance with this maxim, the listener, faced with the sentence,

Harry pressed a button and 800,000 people died.

will assume that both conjuncts are relevant to the discourse, and that their conjunction is also relevant. In this case a likely interpretation of this relevance will be that the first event caused the second.

This seems to agree with Dijk's (1977) principle of "relevant conditional", in the sense that the antecedent often specifies the situation or condition under which the consequent is true, i.e. "such that the world-situation of the consequent is "part of" the world situation introduced by the antecedent, which explains the ungrammaticalness of the example:

We played in the waves and were at the beach.

and the grammaticalness of:

Peter is at the library and is reading a
book on physics."

(Dijk 1977)

5.1.1.2 Rules for discourse interpretation of asymmetric "and":

There is still the problem that 'and' is sometimes interpreted as being symmetric and sometimes as being asymmetric. The following rough rules are probably sufficient to account for the different interpretations:

1. Given two consecutive statements (clauses, sentences) in a narrative both of which describe single events, and
2. Given that neither contains any explicit marking of time relationships such as would indicate a different time sequence, then
3. Either they are interpreted as happening simultaneously or the first event described is taken as having preceded the second in time, and
4. If the second interpretation above is selected, and if the nature of the events described is such as to allow the interpretation of a cause-effect relationships between them, then the first event is taken as having caused the second.

It is likely, however, that a great deal depends on the meaning of individual verbs and on our knowledge of the world.

5.1.1.3 Psychological studies:

Two related areas of research are discussed here. There is first the question of whether sentences exhibiting a chronological order of clauses acquired earlier than sentences with non-chronological order. Secondly: There is the question of whether chronological sentences are easier for adults to understand. Most of the psycholinguists mentioned below have also discussed whether sentences beginning with a subordinate clause of time are harder or easier than equivalent sentences beginning with a main clause.

E. Clark (1970) investigated children's acquisition of two-clause sentences referring to ordered events in time. In English such two-clause sentences can take the following forms:

1. Clause + "and" + clause.
2. Main clause + Subordinate clause.
3. Subordinate clause + Main clause.

At the time of this study, Clark considered that there were three principles governing the adults 'choice' of one or other of the above structures, namely:

1. Time order: She claimed that first event first mention order is simpler and unmarked and hence preferred for adults.
2. Derivational Simplicity: in transformation grammars, sentences of the type 'Subordinate clause - Main clause' are generally derived by an optional transformation from strings in which the Adverbial appears on the right of the verb. They are thus more complex and hence more difficult than sentences of the type, "Main clause + Subordinate clause".
3. Choice of theme: Clark saw this principle as characterising the speaker's decision to talk about one of the two forms.

Clark hypothesised that the children would begin with simple sentences or with "clause + 'and' + clause" form, in both cases adhering to chronological order. The second stage would be brought about by their wishing to thematise the second event, that is, to mention the second event first. This decision would involve the children's using sentences with subordinate clauses. By the principle of derivational simplicity the form chosen would be "Main clause + Subordinate clause" e.g.

He lit a cigarette when he sat down.

Finally in stage 3, the children would use the form, "Subordinate clause + Main clause" to talk about the first event first, e.g.

When he sat down he lit a cigarette.

The advantage of this form over the co-ordinate structure being greater for explicitness of time relationships.

The results of this study, on the whole, confirmed the hypothesis that, the children moved from stage 1 (clause + 'and' + clause) to stage 2 (Main clause + Subordinate clause) to stage 3 (Subordinate clause + Main clause). Bever (1970) reports a study which also appear to confirm the fact that children between 2 - 4 become increasingly dependent on time order.

In a later study, H. Clark and E. Clark (1968) studied the effects of the different forms of expressing time relationships on adults' ability to recall sentences. They used six sentence forms (S_1 = the clause describing the first event, S_2 = the clause describing the second event):

1. S_1 before S_2
2. S_1 and then S_2
3. After S_1 , S_2
4. S_2 after S_1
5. S_2 but first S_1
6. Before S_2 , S_1

The Clarks now talk about two principles affecting memory for sentences, the first being order of mention; the second: the relative order of clauses, that is "Main clause + Subordinate clause", or "Subordinate clause + Main clause". There the derivational simplicity had been dropped, partly because they specifically wanted to show that memory for sentences had a semantic not syntactic basis. On the other hand, their original thematisation principle has been replaced by a syntactic principle of clause order.

The results of their experiments significantly confirmed that chronological order was remembered better than non-chronological order and that sentences beginning with Main clauses were easier to remember than sentences beginning with Subordinate clauses.

Smith and McMahon (1970) investigated roughly the same area, again using adult subjects. They used four sentences:

1. S_1 before S_2
2. S_2 after S_1
3. Before S_2 , S_1
4. After S_1 , S_2

That is, they used the same sentence types as Clarks, but omitted

the coordinate forms. The main difference between their experiment and the Clarks' was that subjects, rather than reading sentences and then attempting to recall them in writing, read the sentences on a screen and answered the questions: what happened first or what happened second? orally. They tried also replicating the Clarks' experiment. In general respects, the results showed that chronological order facilitated recall but had virtually no effect on comprehension.

Urquhart (1977) conducted a series of experiments to determine whether a chronological order enhanced the readability of a text describing a sequence of events. He constructed two pairs of texts for this purpose. Each member of a pair contained the same factual information as the other member, the two differing in that one was organised chronologically, the other non-chronologically. The hypothesis was that the chronological versions would be more readable than their non-chronological equivalents.

The results of his experiments on the whole confirmed the hypothesis that chronologically ordered texts are both faster to read and easier to recall than non-chronological equivalents. These results are in line with those obtained by the Clarks (1968) and (1970).

More generally these results seem to vindicate the rhetoricians and to provide objective evidence that the selection of a particular form of organisation will result in a text being more readable than would have been the case if another had been chosen.

5.1.2 Spatial order:

A second form of organisation which is controlled by "natural principles" is that of "space" order. That is, objects and individual are described according to their position in space. The order of descriptions may correspond to the order of appearance in the scene of "objects" and "individuals" relative to an observer. According to Hodges and Whitten:

"Sentences that have no evident time order
can sometimes be arranged in "space order"."

(1962:329)

McCrimmon makes similar comments:

"A space order is useful when the writer
wishes to report what he sees".

(1962:77)

"Space Order" is characteristically evident in expository,
scientific and descriptive texts. Nevertheless it can also
be found in narrative texts in those parts which represent
"Background" and "Setting" information as will be noted in
(5.3.2.1).

5.2 Logical organisation:

The ordering principles appealed to in the previous section, those of time and place, can be considered as at least partially independent of the speech situation. That is, the sequence of events in time, and the position of objects in space, are generally regarded as being extra-linguistic. Logical relationships, however, are conditioned by factors in the speech situation and are dependent upon the speaker/writer's beliefs, assumptions and knowledge of what the listener/reader knows or does not know. According to Lackstrom, Selinker and Trimble (1972) "logical" principles are,

"those writing techniques which the author deliberately chooses to impose on his material in order that the reader will see how he, the author, visualises the rhetorical relationships of the material".

(1972:8)

This section consists of an account of certain rhetorical relationships between sentences which are relevant to the analysis of the texts under study:

1. Statement - Explanation.
2. Assertion-Substantiation.
3. Assertion-Concession.
4. Assertion-Exemplification.
5. Assertion-Conditional

(The distinction between a "Statement" and an "Assertion" is basically that a statement utterance is one which the writer assumes will be accepted at its face-value, an assertion is an utterance which he assumes the reader will not accept without some further information).

5.2.1 Statement-Explanation:

This is the relationship holding between the two sentences in each of the following pairs:

1. My watch has stopped. I wore it in the bath.
2. The teacher was appalled. The three representatives were all black.
3. The car stopped. The brakes had jammed.

In each of these pairs, an event or state of affairs described in the first utterance is explained by reference to an event or state of affairs described in the second utterance. Each of the above examples can be paraphrased in a variety of ways.

- e.g. 1. My watch has stopped because I wore it in the bath.
2. My watch has stopped. This is because I wore it in the bath.
 3. My watch has stopped. The reason for this is that I wore it in
 4. I wore my watch in the bath so/and it has stopped.

"Explanations" have been discussed by Dakin (1970). His main concern was to establish "standard forms" for different kinds of explanations and then relate differences in surface structures to permutations in the standard forms. Bormuth et al (1970) in their outline of inter-sentential relationships distinguished between "causal relationships" as in:

The machine stopped. The gear had slipped off.

and "explanatory" ones as in:

Joe quit the team. He didn't get to play enough.

Since at first sight at least these two types are not distinguished, and since the purpose here is to provide a rough classification of inter-sentential relationships, rather than to examine sentence constituents, all the sub-types provided by Dakin and Bormuth et al will be put together into the class of "Statement-Explanation".

This relationship can be defined as the conjunction of two statements in which an event or state of affairs described in one statement and accepted by the listener/reader as true is then explained by reference to a prior event or to a state of affairs either prior or concurrent, described in the other statement.

5.2.2 Assertion-Substantiation:

This is the relationship holding between sentences or clauses in the following examples:

1. This was a big task. Engineers, dustmen, sanitary inspectors as well as doctors had to be recruited, trained and paid.
2. Cliches are like cops, in that you never find one when you want one.

Informally, the difference between "Statement-Explanation" and "Assertion-Substantiation" is that in the first, an explanation is offered for the event or state of affairs described in the statement; in the second, the substantiation provides a reason for stating or believing the assertion. In his account of "Semantic Clause Relations" Winter (1977) refers to this relationship as Statement-Reason. Ross (1970) arguing for the existence of an implicit performative verb in statements (3.1.2) points out that in the sentence,

'Jenny isn't here, for I don't see her'.

"It is clear that the for-clause does not provide a reason for Jenny's absence, but rather a reason for the speaker to assert that she is absent." (p.248)

5.2.2.1 Similarity between explanations and substantiations:

Substantiations share several formal features with explanations, as can be seen when we compare the following pair of texts:

1. Explanations: He's deaf. His eardrum was punctured in an accident.

2. Substantiations: He's stupid. He loses all his money at cards.

- i) In each case the separate utterances can be joined by "because" or "since".
- ii) If the order of utterances is reversed in each case they can be joined by "so".
- iii) In the original order, the second utterance can be elicited by the quotation "why" being asked of the first utterance.

5.2.2.2 Differences between explanations and substantiations:

There are however certain obvious differences, some of them formal.

- i. The two separate utterances in the Assertion-Substantiation relationship can be linked by conjunctions such as "in that", "in as such as", "in so far as", e.g.

The brain is unusual in that it contains several pairs of ganglia all fused together.

Most instances of Statement-Explanation can not be so linked, e.g.

The car stopped in that the brakes had jammed.

An Explanation is a description of an event, or state of affairs, considered distinct from the event or state of affairs it explains. The order of utterances can be reversed and linked with "and" without the interpretation of the whole utterance being altered, e.g.

The car stopped. The brakes had jammed.

The brakes had jammed and the car stopped

Pragmatically the second example will be interpreted as meaning the same as the first, on a 'post hoc, ergo propter hoc' line of reasoning.

However, in the case of the Assertion-Substantiation relation-

ship, even when at first sight there appear to be two events described, this is not the case, and the corresponding paraphrase does not, in fact, mean the same, e.g.

'The judge misdirected the jury - He referred them to only a limited amount of evidence'.

If this is altered we get,

'The judge directed the jury to only a limited amount of evidence, and he misdirected them.'

which suggests that the judge misdirected the jury in addition to a previous action.

It can be often said, rather than describing a different event from that described in the Assertion, the substantiation part 'constitutes' what is asserted in the first part, or that what is asserted 'consists of' what is stated in the substantiation, e.g. The judge misdirection consisted of directing the jury to certain kinds of evidence, OR, the judge's directing the jury to only certain kinds of evidence constituted his misdirection.

5.2.2.3 The function of substantiation:

It has already been argued that substantiations provide grounds for uttering the preceding assertion. That is they provide evidence as to why, in the writer's opinion his 'assertion' is true. They can thus be related to Searle's "Preparatory" "condition for a successful assertion, namely, that the utterer has a basis for believing the proposition contained in the assertion" (Searle 1969). Thus substantiations are likely to occur in those cases where the writer makes an assertion which he believes may not immediately be accepted as true by the reader. This again marks substantiations off from explanations which, as Dakin remarks,

answer or anticipate questions about why something happened or why something is as it is.

(1969:199)

That is, there is in the case of Explanation, no reason to assume that the listener/reader will disbelieve what is stated.

Explaining the functions of substantiation by reference to factors in the communication situation such as possible non-acceptance of the Assertion by the reader has the advantage of making it possible to subsume into a single class two rather different types of substantiation, exemplified by the following pair of sentences:

1. Jenny is not here, for I don't see her.
2. The brain is unusual in that it consists of several pairs of ganglia.

The first is clearly a form of inductive inference, arguing from the known to probability, the second is rather different "the brain is unusual" might conceivably be classed as a generalisation. However, the account given here of the function of substantiations allows both examples to be classed as such.

What types of utterance are liable to be followed by substantiations? Lackstrom, Selinker and Trimble (1972) consider that such generalisations, which they view as forming the basis for EST paragraphs, make claims that are "worthy of support" (p.14). If they do not do this then they are 'trivial', false only if the author is lying. An examination of examples of "Assertion-Substantiation" pairs reveals that the Assertion often contains "subjective" terms, e.g. "is confusing", "is usual", "has some basis", ... etc. This is probably important for purposes of prediction, since the reader, coming upon such subjective assertions is likely to be able to predict the occurrence of a subsequent substantiation. Not all assertions, however, are marked by the presence of overtly subjective terms, e.g.

Jenny is not here (for I can't see her)
It is not fully automatic (in that the
trigger has to be pressed for each shot)

In these cases, what looks like objective statement are only revealed as assertions by the presence of the ensuing substantiation.

5.2.3 Assertion-Concession:

This is the relationship holding between the first sentence in each of the following texts and the subsequent sentence(s):

1. There are, however, several important characteristics which show that Aphioxus is really a primitive relative of the vertebrates. This little animal has no backbone, no series of vertebrae running the length of the back and stiffening the trunk: (it has, however)
2. But in practice Labour politicians in office have been consistently tough with the unions. The previous labour government did back away from "In Place of Strife" under union pressure, but

Concessions are, in a sense, the opposite of substantiations. If substantiations provide the writer's basis for making his Assertion, concessions spell out either reasons for not making the statement, i.e. the reason why the assertion may not be valid, or anticipate the reader's objections to the validity of the Assertion. Thus, in example 1 above, the fact that Aphioxus has no backbone, etc., might be taken as evidence that the creature is not a primitive relative of the vertebrates.

5.2.3.1 Different forms of concession:

The frequent combination of "assertion-concession-substantiation" can appear in several forms. Thus the following are all possible:

1. The first-aid man merits most consideration. He is conservative, but he is the man who has to do the job.
2. The first-aid man merits most consideration. I admit/admittedly he is conservative; he is however, the man who has to do the job.

3. The first-aid man merits most consideration. While he's conservative he is the man who has to do the job.

The order in which the different utterances appear is, however, important, particularly when the concession is unmarked apart from the presence of 'but'. For example, the following sequence,

"That house is almost ideal for us. It is very far from my work, but it has lots of room".

gives the impression that the speaker intends to take the house, whereas the sequence,

"That house is almost ideal for us. It has got lots of room. But it is very far from my work."

suggests that the house's disadvantage is uppermost to the speaker's mind. It seems that in the second example, the final sentence is not a concession, but a contrary assertion. Concessions must be subordinate.

5.2.3.2 Marking of concessions:

While the concession element itself may be overtly marked by such terms as 'admittedly', 'granted', etc. this is not obligatory. In the Common Configuration of "Assertion-Concession-Substantiation", the most common practice seems to be to mark the disjunction of concession and substantiation, with 'but', 'while', or 'although'.

The use of 'but' to show rhetorical disjunction seems to account for some of the problems in Robin Lakoff's discussion of the uses of 'but' (1971). She claims that in the cases where 'but' joins two propositions which do not contain semantically opposed items, the listener/reader has to supply a presupposition to explain the usage. Thus

'Gold is soft but iron is hard'

requires no presupposition, because of the presence of the hard/soft opposition, while

"She was poor but she was honest"

requires the presupposition, 'poor = not honest'.

On the other hand, Lightfoot (1973) has produced counter-examples such as,

He's tall but he's a basket-ball player.

where it is obviously untrue that 'tall = not a basket-ball player'. Such disjuncts are perfectly normal in context such as,

'Mary likes John. He is tall, but he is a basket-ball player'.

which easily analysed as "Statement-negative reason - explanation". i.e. the statement that Mary likes John is followed by a reason why she should not like him (she does not normally like tall men) followed by an explanation as to why in fact she does (she just adores basket-players). Similarly in the example,

Dolores would make a good wife. She talks too much, but she is a marvellous cook.

The 'but' is explicable as showing the disjunction between a concession providing evidence as to why she would not be a desirable wife, and the substantiation, providing overriding evidence that she would. Thus the 'but' makes the relationship between the rhetorical units, and not between the semantic content of these units.

Lakoff has suggested that there are restrictions on the use of 'although' in transforms of " S_1 but S_2 ". Her suggestion is that 'although' is confined to cases involving presupposition, and is not used where 'but' marks the disjunction of semantically opposed items. Then she rejects,

"Although John is rich, Bill is poor"

while accepts:

"Although John is rich, he is honest"

However, the first example appears to be quite acceptable in the context,

'Not all the Smiths are rich, although John is rich, Bill is poor'.

Supplying the evidence that there is a link between John and Bill such as would lead one to expect them to have the same experience of life.

A speculative explanation as to why 'although' is odd in cases like,

Although iron is hard, lead is soft.

but acceptable in larger contexts such as,

Not all metals are hard, although iron is hard, lead is soft.

is that grammatical subordination imposed by 'although' reflects, or imposes a rhetorical or psychological subordination. In the sentence,

'Iron is hard but lead is soft'

both assertions seem to be of equal importance, and the subordination of one to the other is incongruous. Then one assertion becomes a concession, however, as in

Not all metals are hard. Although iron is hard, lead is soft.

The concession, giving a reason for not accepting the main assertion, is rhetorically, and psychologically subordinate to the substantiation and hence can be preceded by 'although'.

5.2.4 Exemplifications:

This is the relationship holding between the two utterances

in each of the following pairs:

1. And once the birds arrive, they seem to adapt quickly to city life. Tawny owls, for example, are finding their natural foods very plentiful in the concrete jungles.
2. Fish often have their regional names. Saith may be called coal fish, coley, and a whole host of local names from coothe to sprinkle.

In his outline of "Semantic Clause Relationship" Winter groups Generalisation-exemplification as a "matching relationship, i.e. produced by means of replacing one or more item or unit in the Generalisation with matching items in the exemplification (Winter 1977). This is quite illuminating when one considers the construction of an exemplification. In the above instances, the following "matching" can be detected:

Generalisation	Exemplification
1. they (the birds) seem to adapt quickly in city life	tawny owls are finding that natural food are very plentiful.. in the concrete jungles.
2. Fish often have their own regional names	Saith may be called coal fish, coley and a whole host of local names from cooth to sprinkle.

Such matching probably plays a part in comprehension. The replacement of "fish" with "Saith", for instance, is probably sufficient to indicate to a reader that "Saith" is a kind of fish, even when he was previously ignorant of the meaning of the word.

From the standpoint of the functional analysis adopted here, however, Assertion-Exemplification is probably best treated as a sub-class of Assertion-substantiation. The former relationship is more limited in that it can occur only when the Assertion contains a reference to a class of objects or events, e.g.

1. 'John was late this morning' - No class reference, therefore no exemplification possible.
2. John was late several times this week - For example, on Tuesday, he didn't turn up till 9.30.

Sometimes as in the "fish" example no marker is present, but the second part of the utterance is obviously intended as an exemplification, not as a complete substantiation. Sometimes however it is virtually impossible to decide whether an unmarked utterance is intended as a Substantiation or an Exemplification, and probably futile to try. For instance:

'Environmental agencies can interfere with the development of set characteristics. In some mammals, the presence of a twin of opposite sex in the womb can cause the development of a mixture of male and female organs.'

The two sentences could be linked with either "for example" or "in that". The choice, in the absence of any marking by the author, depends on the reader's knowledge of the subject area. If the second sentence contains all the evidence for the truth of the first assertion, then it is a substantiation. If not all the evidence is contained in the second sentence, then it is exemplification.

As with all rhetorical relationships, the relationship of Assertion-Exemplification imposed on material depends at least in part on the writer's views, e.g.

Actually the size of a head has nothing to do with brain capacity. The Royal family have mostly small heads.

The second sentence is probably an exemplification, but the appropriateness of the relationship might not be accepted by an anti-royalist.

5.2.5 Conditionals:

This relationship holds between two sentences/clauses such that the situation/facts expressed in one of them determine or condition the other. The two sentences involved in such

a relation express a "condition" and a "fulfilment" (Winter 1977), e.g:

When they arrived home, they found the police.

Van-Dijk (1977) distinguishes two types of conditionals, "actual conditionals" and "hypothetical conditionals". Characteristic of actual conditionals is that both antecedent and consequent are satisfied in some situation of the actual world, "The actual world will often be identical with that of which the actual context is part" (1977:67).

This type of conditional includes "local" and "temporal" conditionals, e.g.

As we were on the beach, we played football.

Hypothetical conditional relationships between sentences are the same as those between actual conditionals. The main difference is that the facts represented are to be satisfied in an epistemically non-accessible world: future world or past world in which either of the facts is know or assumed, i.e. facts are assumed to be true in the actual world, e.g.

If it does not rain this summer the soil will dry up.

This category also includes "counterfactual" conditionals where relations between facts may exist whether they are realised in the actual world or not. This means that it is possible to make assertions about conditionals which are true in some alternative world, not the actual world, e.g.,

If Peter were rich he would buy a castle.

The basic assumption, therefore, is that the counterfactual world must be relatively similar to the actual world.

Van-Dijk (1977) explains that the relation between similarity and counterfactuals may be directly expressed by the connective "as if":

You are spending money as if you are a millionaire.

Characteristic of "as if" is that the antecedent is true in the actual world and the consequent is assumed to be false in the actual world. The use of "as if" may, therefore, either be intended as a comparison or to denote an apparent sufficient condition of the fact expressed in the antecedent, in the sense that, it looks as if some fact were the case.

In this case the "fulfilment unit" typically comes at the beginning (Winter 1977:15).

5.2.6 Common markers of hypotactic relations:

The following is not intended as a systematic survey, but merely a sketch to illustrate relationship markers commonly found in the kind of text used in this study.

5.2.6.1 Statement-Explanation:

Between Clauses the common markers are, because, since, as and for. There is also the V + ing construction,

Having spent all our money on wine, we
couldn't go out to eat.

Curme (1935) points out that "sometimes cause finds expressions in an attributive element, either in the form of an attributive adjective or an attributive relative clause:

"The cruel man didn't pay any attention to
their pleadings": since he was cruel".

(p.312)

Since however, we are focusing on statements this is best treated as an interesting side-issue. Jespersen (1954) points out that reasons are "often indicated by a subsequent sentence containing so or such" and cites examples like,

"She could hardly speak, she was so excited".

He adds that "for" is inserted to indicate the reason more explicitly (1954:387). Other possibilities are "the reason for this is that", "this is due to the fact that", "this is a result of the fact that" etc.

5.2.6.2 Assertion-Substantiation:

The most common occurrence appears to be the implied form, e.g.

This convenient technique is highly inefficient, in normal practice it is unusual for more than about 40% of the nitrogen to reach the plants."

Apart from this, this relationship shares with the previous one the inter-clause markers "because", "since", "as" and more definitely "for". John Ross (1970) cites the example,

'Jenny isn't here, for I don't see her'.

as an instance of a for-clause providing a reason for the speaker to assert the first statement. Curme (1935) in fact, appears to regard "for" as confined to this relationship:

"'For' also differs from 'as' and 'since' in that it can introduce an explanation that does not contain the idea of cause:

It's morning for the birds are singing"

(p.315)

while there does seem to be a tendency to keep 'for' confined to substantiation it is difficult to agree with Curme that in the sentence he quotes, "since" or "as" are unacceptable.

The most unambiguous marker of substantiation appears to be "in that", e.g.

'Crystals are almost alive in that they grow by reproducing themselves'

Between sentences, again absence of marking is the rule. One very occasionally finds "for", e.g.

"The distribution of the chips in the Stonehenge layer does not favour this theory of their origin. For the dressing of stones within the stonehenge earthwork would produce a number of isolated chips."

Very explicit spellings out of the speech act would be "I say this because", "My reason for saying this is that" etc.

5.2.6.3 Exemplification:

There are two unambiguous markers 'for example' and "for instance":

"They are also superior in aesthetic sense, for instance, they discriminate colours better than boys."

The implicit form once again appears to be very common.

5.2.6.4 Concessions:

A concession, as was mentioned earlier, is a part of a larger structure, "Assertion + Concession + substantiation. Just as the relationship "Assertion + subatantiation" is often found in an unmarked form, so often is there no explicit marking of a concession in relation to an Assertion. What is always marked, however, is the contrastive relationship between a concession and a substantiation. This obligatory contrast is marked in one of various ways,

'but', 'yet', still, however, nonetheless, nevertheless, although, in spite of this, despite this.

The marking of the Concession in relation to the Assertion may be done in one of the following ways:

1. Certainly: Certainly, the two men were implicated in the plot against the King.
2. Granted: Granted, environmental agencies interfere with the development of sex characteristics.
3. To be sure: To be sure, New England had no aristocracy, and the monarchical power was far away and usually quite ineffective.
4. True: True, Britain did interfere in 1964 in Kenya, Uganda and Tanzania.

Very explicit spellings out of the speech act would be 'I admit that', 'it must be admitted that' etc.

5.2.6.5 Conditionals:

Conditionals in general require the relations between units to be marked, although in actual conditionals, it may be found

in an unmarked form. Actual conditionals are usually marked by: when, as, while, and less often by -ing forms denoting locations.

Characteristic of hypothetical and counterfactual conditionals is that they are not expressed without explicit markers because the facts denoted do not necessarily hold in an actual world/situation. Hypothetical conditionals are commonly marked by "if", and often by subject-auxiliary inversion such as (had I known where it was). In the case of "unless" the conditional is combined with negations, e.g.

Unless you give me more money, I'll not sell it.

"As if" and "like" are commonly used in counterfactual conditionals as a comparison.

You look as if you have passed your exams.

meaning: If you had passed your exams you would be looking like that.

In which case an assumption is the basis of "an assertion".

5.2.6.6 Reversals:

Sometimes the relative order of the sentences in the relationship can be switched without appearing to alter the meaning very much. For example, given the two texts,

He fell off the pier. He drowned.

and,

He drowned. He fell off the pier.

we would probably agree that both contain the information that, firstly,

He fell off the pier

and secondly,

He drowned.

and thirdly, his drowning was the result of his falling. Markers of the 'cause + effect' relationship are 'so', 'hence',

(thus), 'in consequence', 'as a result of (this)' etc.

Winter (1977) considers "time sequence" to be crucial to the semantics of this type of relationship whose explicit marker is the conjunction "therefore". This seems to explain the inconsistency with which Lackstrom, Selinker and Trimble (1972) deal with "causal relationship" treating it sometimes as a "natural relationship" and sometimes as a "logical relationship".

According to Winter, however, causal relationship is a "logical sequence relation which is characteristically marked by a change in time" (1977:8).

In this study, "causal relationship" is analysed as a "logical relationship".

The relationship 'Assertion + substantiation' can be reversed, again sharing most of its markers with the equivalent reversed causal relationship:

'There are no clues in this crossword puzzle.
Thus it is quite different from the normal
kind.'

When the sentence forming an 'Assertion' and 'Example' relationship are reversed, we get what appears to be functionally a very different kind of relationship:

'Saith may be called coal fish, coley and a
whole host of local names from cooth to
prinkle. Fish often have their own local
names.'

a likely connective is "in fact", and the second statement appears to be an almost parenthetical generalisation of the first.

Finally as far as concessions are concerned, the concession element cannot be switched to a position after the substantiation, without materially altering the effect of the text. The following text, for example, with the concession in normal position, appears to be an argument in favour of buying a house:

This house is almost ideal for us. It's a
bit far from your work but the state rooms
are delightful.

whereas the text with the concession moved to the end,

This house is almost ideal for us. The state
rooms are delightful, but it's a bit far
from your work.

seems to be weighted against the proposal.

A sentences forming an assertion + conditional relationship can be reversed without appearing to alter the meaning very much. If it is an actual or hypothetical conditional e.g.

We played football when we went to the beach

and

When we went to the beach we played football.

Or:

He could have gone to the party if he had not
been ill.

and

If he had not been ill he could have gone
to the party.

In Counterfactual conditionals the comparative element cannot be switched to a position before the assertion without altering the meaning of the text, e.g.

He handled it as roughly as if he had no
feeling

*As if he had no feeling, he handled it as roughly.

This, of course, is based on the assumption that what is known should be introduced or mentioned before what is assumed as an element of comparison.

5.3 Comparison between the two texts:

The aim of this comparison is to determine whether simplification has an effect on the "chronological" and the "logical" forms of organisation of the selected texts. The comparison is concerned with the sequential relationships between sentences/clauses in the ongoing discourse. It is important,

however, to bear in mind that the analytic techniques are here being applied only to those sentences/clauses which are retained in the simplified version selected, and not to all the sentences of the original text. Only when relevant, will the influence of those eliminated parts to those which are retained be considered. (The notions of clauses and sentences are conflated in this chapter and so are subordinators and sentence connectors).

5.3.1 Temporal order in the two texts:

It was noted in the previous chapter (4.1) that not all units in the texts refer to events in time in the same way. Some refer to single events, others to processes taking place over an extended period of time during which others take place, yet others do not refer to events at all, (which recalls Grimes distinction between events and non-events in 4.1). While it would be possible to classify the different units informally, the form of analysis worked out by Labov and Waletzky, mentioned in (4.4.3.1), provides a convenient method of performing the analysis and is used here.

5.3.1.1 Functional categorisation of texts:

In Labov and Waletzky (1967) the amount of movement or the "displacement range" permitted to a clause is then used to distinguish three main types of clause, namely:

1. Free Clauses: which can be moved anywhere in the text, although this sometimes necessitates changes in anaphoric reference etc.
2. Restricted Clauses: which can be moved to a limited extent.
3. Narrative Clauses: which cannot be moved with respect to each other without the interpretation of temporal sequence being altered.

Labov and Waletzky also mention

Coordinate Clauses: which with respect to one another share the same amount of displacement.

Applying this analysis to the sentences under study, the following classification into clause types can be made:

5.3.1.2 Text A:

1. Free Units: 1, 2.
2. Restricted Units: 15, 16, 20, 35. Units 15-16 can be moved downwards after 17. Unit 20 can be moved upward after 18 where "food" was first introduced. This of course depends on the reader's interpretation of the "progressive" element in the unit. If it was interpreted as referring to a process taking place throughout the time the man was eating his food then it can be moved upward without altering the temporal meaning of the sequence. Unit 35 can be moved after 32 or before 37.
3. Narrative Units 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 17, 18, 19, 21-34, 36-45. Unit 4 does not relate temporally to either unit 3 or 5. Together with unit 5 they form a relationship which is not dealt with in Labov and Waletzky, i.e. a relationship of assertion (1st clause) + substantiation (2nd clause) + concession (clause 1 in unit 5) (this type of relationship will be dealt with in details in the second part of the chapter). Unit 5 however, is narrative in that it cannot be moved anywhere in the text without altering the temporal meaning. Since unit 3 must precede unit 4, therefore it shares the "displacement range" of unit 4, and is classified as "narrative".

The third clause in unit 3, however, does not chronologically belong to this unit. It marks a shift in temporal order by presenting an event which happened sometime ago "on a Sunday". This shift is also marked by different tense "had been there". Since, as Labov and Waletzky point out, the perfect form of the verb has the effect of removing the clause from the strict narrative sequence, this part of the unit marks a break in the chronological order of the narrative units.

Units 7, 8, 10: At first it seemed that these units can be categorised as "restricted" units and therefore be moved to any position after "the man" is introduced. Yet there appears

to be an element of ordering principle here. The order of these units corresponds to the order of appearance in the scene of the man and other details and objects associated with him, relative to the observer/narrator's position. It could be assumed that the observer/narrator here is moving forward in one direction and whatever he sees as he goes along, is seen first vaguely from the distance and then clearer as it gets nearer. He first sees the man "sitting", as he gets nearer he notices other particulars of his posture "his back was towards me etc." Then as he gets within touching distance he could see more specific details about him, e.g. "his being cold, lame.... etc."

Unit 11: The first clause is related to Unit 10 in that it makes a "generalisation" about it in terms of the amount of time the event took. Together with the second clause they form a relationship of "assertion-substantiation". These two clauses do not themselves represent events but they are treated as "narrative clauses" here since they must follow unit 10.

Unit 13: Again this unit, together with 12 form "assertion-concession" relationship. It is treated as "narrative" because it must follow 12.

Unit 26: This unit is related to 25. It gives "substantiation" for the assertion made by 25 and therefore it must follow it.

5.3.1.3 Text B:

1. Free Units: 1 and 2.
2. Restricted Units: 10, 11-12. Unit 11 in text A is the unit corresponding to unit 10 in this text. It was categorised as "narrative". In B, however, with the elimination of the "generalised statement" at the beginning of Unit 11 in A, and the "explanation" attached to it (Clause 1 and 2), Unit 10 in this text can now be moved forward before Unit 9 or downward after Unit 12. With this modification too, Unit 11-12 (which must follow each other) can now be moved upwards to any position after Unit 8.

3. Narrative Units: 3 to 9, 13 to 27.

Unit 14: This Unit must follow Unit 13. In text A, however, the corresponding Units 15 and 16 were categorised as "restricted" since they could be moved downwards after Unit 17. In this text Unit 14 is categorised as "narrative" because it cannot be moved to that position without the temporal meaning being altered. The modification of the corresponding structures in A (i.e. 15 and 16) to "No sooner than ..." presupposes that "the man was hungry" and therefore it cannot be moved to any position after that.

Unit 16: the second clause of this unit corresponds to Unit 20 in A which is categorised as "restricted". The modification of the 'aspect' of the verb and the addition of "as" which links the two clauses together made it difficult to move this clause to any other position without a change of meaning.

Unit 22: this unit must follow Unit 21 since it functions as "substantiation" for the assertion made by that unit.

Unit 25: Clause 3 and 4 in this Unit correspond to Unit 35 in Text A which is categorised as "restricted" because they have a limited "displacement range". These two clauses however could not share the same displacement range of that unit, first because they were constrained by their structure and position in the sentence and second because they come just after "the man" was mentioned which is more likely to be the natural position for them.

5.3.1.4 Conclusions:

1. The order of the narrative units in text B corresponds to the order of the narrative units in A. It should be noted that this is also the order in which the events or processes described by these units in time. That is, the order of mention of the narrative units in the two texts is a chronological one. There are two exceptions to that in text A: first where reference was made to an event which took place "sometime ago one Sunday". This unit was eliminated in text B; second where reference was made to the narrator's past experience in watching his dog while eating which is again eliminated in B.

2. In both texts, in almost all the instances where "and" is used to connect clauses in the structure "clause 1 + "and" + clause 2", the first clause represents an event which preceded the one represented by the second, in time. There is one example where "and" is used to connect two events which occur simultaneously, e.g.

A: He was gobbling mincemeat staring distrustfully and often stopping to listen.

which is left unaltered in B:

B: He shivered staring distrustfully ... and often stopping to listen.

Moreover, "And" is never used in both texts to mark causation.

3. It has also been noted that the syntactic order of clauses in sentences followed the temporal order in which events are represented, i.e. the choice of any of the following syntactic forms depends on the fact that it represents temporal order of events described:

1. Main clause + Subordinate clause
2. Subordinate + Main clause

4. In unit 18 in A and its equivalent in B, unit 6 clauses are ordered spatially, i.e., the order of clauses corresponds to the order in which the narrator saw the details as he approaches "the young man".

We may conclude, thus, that simplification in these texts did not involve any altering in the temporal ordering of the narrative units in these texts, obviously because text A itself is chronologically ordered (except for the two examples mentioned earlier). There is no alteration, also, in the descriptive units which are ordered spatially in A. The main alteration, however, caused by simplification in text B, is constraining the "displacement range" of some "restricted units" (13, 14, 25 in B) even more and therefore turning them into "narrative units" which reinforced the unity of the text.

This conclusion seems to agree with the hypothesis made by rhetoricians and the conclusions reached by psycholinguists (in 5.1.1.3) that chronological order is preferred by narrative writers since it makes it easier for readers to follow events' sequence.

5.3.2 Logical order in the two texts:

It was noted from the previous analysis that sentences/clauses not only follow each other according to the way the events they represent are ordered in time but they also hold certain logical relationships with each other according to their position in the sequence.

Below is an account of the relationships between units in the two texts. The following points must be noted:

1. This analysis will contain inter-sentence relationships of the types discussed earlier, i.e. hypotactic relationships; sentences which contain clauses related paratactically are not discussed here.

2. Embedded structures which are related to an element of clause structure and do not form a part of the whole structure of the sentence, are not included in this analysis.

3. The following abbreviations are used: $S_1 - S_2$ = there is a relationship between the first and the second sentence in the text; $S_1 - S_2$ = there is a relationship between the first and the second clause of the same sentence (used when the relationships in question is between 2 clauses of a single orthographic sentence); $A()$ or $B()$ = the number of the sentences as they occurred in the text.

1. A1	Statement	- It was a rimy morning and very damp
$S_1 - S_2$	Explanation	- I had seen the damp lying on the outside
$S_2 - S_3$	Conditional (Comparative)	- as if some goblin had been crying there all night
$S_1 - S_4$	Explanation	- Now, I saw the damp lying on the bare hedges
$S_4 - S_5$	Conditional (Comparative)	- like a coarser sort of spider's web
$S_5 - S_6$	Explanation	- hanging itself from ... twig to twig
B1	Statement	- It was a rimy morning and very damp.

2. A6 S₁ - S₂ Cause (Conditional) - The mist was heavier yet when I got upon the marshes
- S₁ - S₃₋₄ Consequence - so that instead of my running at everything, everything seemed to run at me.
- B2 Cause - On the marshes the mist was so heavy
- S₁ - S₂ Consequence - that everything seemed to run at me.
3. A14 Assertion - All this time I was getting on towards the river
- S₁ - S₂ Substantiation - but however fast I went
- S₂ - S₃ Concession - I couldn't warm my feet
- S₃ - S₄ Substantiation - to which the damp cold seemed riveted
- S₄ - S₅ Conditional (Comparative) - as the iron was riveted to the leg of the man
- B3 Assertion - All this time I was getting on towards the river
- S₁ - S₂ Substantiation - but however fast I went
- Concession - I couldn't warm my feet.
4. A15 Assertion - I knew my way to the Battery ...
- S₁ - S₂ Substantiation₁ - for I have been there on a Sunday with Joe
- S₂ - S₃ Substantiation₂ - and Joe had told me that .. we would have such larks there..
- S₃ - S₄ Conditional₁ - Sitting on an old gun
- S₃ - S₅ Conditional₂ - When I was 'prentice' to him regularly
- A16 S₁ - S₂ Concession (Cause) - In the confusion of the mist I found myself too far to the right
- S₁ - S₂ Consequence - and consequently had to try back along the riverside.
- B4 Assertion - I knew my way to the Battery
- S₁ - S₂ Concession (Cause) - but in the confusion of the mist I found myself too far to the right.
- S₂ - S₃ Consequence - and consequently had to turn back along the riverside.

	$S_{10} - S_{11}$	Conditional Statement	- as he went - and I lost him
B10		Statement	- He swore an oath
		Statement	- made a hit that missed me
		Statement	- and then he ran into the mist
9. A23	$S_1 - S_2$	Statement	- It's the young man, I thought
		Explanation	- feeling my heart shoot
		Conditional	- as I identified him
B11	$S_1 - S_2$	Statement	- It's the young man, I thought
		Explanation	- feeling my heart shoot
		Conditional	- as I identified him
10. A24		Assertion	- I dare say I should have felt pain in my liver too
	$S_1 - S_2$	Conditional	- had I known where it was.
B12		Assertion	- I should have felt pain in my liver too
	$S_1 - S_2$	Conditional	- had I known where it was.
11. A26		Assertion	- He was awfully cold
	$S_1 - S_2$	Substantiation	- to be sure, I half expected to see him drop down
	$S_2 - S_3$	Substantiation	- and die of deadly cold
A27		Assertion	- his eyes looked so awfully hungry too that
	$S_2 - S_3$	Conditional	- when I handed him the file
	$S_1 - S_2$	Substantiation	- it occurred to me he would have tried to eat it....
B14	S_1	Assertion	- He was awfully cold.
	S_2	Assertion	- and his eyes looked awfully hungry.
12. A28		Assertion	- He did not turn me upside down this time
	$S_1 - S_2$	Substantiation	- to get at what I had
	$S_2 - S_3$	Concession	- but left me right side up
	$S_3 - S_{4-5}$	Conditional	- while I opened the bundle and emptied my pockets.

B17	Assertion	- "Well", he said, "I believe you"
S ₁ - S ₂	Substantiation	- You'd be but a fierce young dog indeed,
S ₂ - S ₃	Conditional	- If at your time of life you would help to hunt

S₁ - S₂ Substantiation - You'd be but a fierce young
dog indeed,

S₂ - S₃ Conditional - If at your time of life you would help to hunt

15. A99 Statement - He was down on the rank wet grass

S₁ - S₂ Explanation - filing at his iron like a madman

S₂ - S₃ Negative Reason- and not minding me

S₃ - S₄ Negative Reason- or minding his own leg

S₄ - S₅ Explanation - which had an old chafe on it

S₅ - S₆ Explanation - and was bloody

S₆ - S₇ Negative Reason- and which he handled as roughly

S₇ - S₈ Conditional - as if he had no feeling in it
(Comparative) than the file

B26 Statement - He sat down on the wet grass

S ₁ - S ₂	Explanation	- filing at his iron like a mad-man
---------------------------------	-------------	-------------------------------------

16. A100 S₁ - S₂ Assertion - I was very much afraid of him again

S₂ - S₃ Substantiation - now that he had worked himself
(of 1) into this violent hurry

Assertion - and I was likewise afraid of keeping away from home.....

A101 S₁ - S₂ Statement - I told him I must go

S₁ - S₂ Negative Reason- but he took no notice
(Cause)

S₂ - S₃ Consequence - so I thought the best thing I could do was to slip off.

B27	Explanation	- Fearing I had stayed away from home too long.
-----	-------------	---

S₁ - S₂ Statement - I slipped off

5.3.2.1 Comments:

Unit 12: In A 28 clauses 4 and 5 function as temporal conditionals to the assertion (clause 1) which is eliminated in B. Instead, in B15 these two clauses come at the beginning of the sentence yet they function as conditionals to the statement represented in clause 3, which is a summary of the information given in clause 1 and 2 in A31. As they are in text B these two clauses (1 and 2 in B15) assume a thematised position.

On the other hand, the substantiation supporting the "assertion" in clause 1 in A32 is eliminated in text B. However, this assertion is moved down to B16 and is linked to the first clause by "as". The result of this alteration is that the two events (1 in A32 and 1 in B16) are related temporally where the second event conditions the first.

Unit 16: Clause 3 in A100, which represents an "assertion" is moved to a front position in B27 and modified into an "explanation" for clause 2 in B27, which functions as a statement. This last "statement" represents clause 3 in A101 which functions as a "consequence". The rest of the clauses in A100 and A101 are eliminated.

5.3.2.2 Conclusions:

The conclusions reached from this analysis can be summarised as follows:

1. There are five units which are not affected by simplification. They are identical in the two texts. These units are 6, 7, 9, 10, 14.
2. The remaining units (1, 2, 3, 4, 5, 8, 11, 12, 13, 15, 16) involve eliminating certain clauses, mainly those that function as "explanation" and Substantiation". The following table illustrates this:

Units	A	Per cent	B	Per cent
Assertions	13	16%	8	21%
Substantiations	14	18%	3	8%
Statements	10	12%	10	26%
Explanations	10	12%	3	8%
Concessions	10	12%	4	11%
Causals	4	5%	3	8%
Conditionals	20	25%	7	18%

Logical relationships between units in A and B.

a. The figures in this table indicate that while "assertions" and "statements" are not much affected by the process of simplification, in that most of them were retained in the simplified version, "explanations" and "substantiations" were definitely affected. The reason for this could be that assertions and statements represent the information with greatest priority while subordinate information expressed by explanations and substantiations were regarded as less important or essential. The view adopted by Werner and Kaplan (1963) that in hypotactic expressions, events or states of affairs are described in terms of "causal or conditional" relationships, i.e. one event may be dependent upon or subordinate to the other, may be extended here to a claim that, in such expressions, experiences/events may be divided into important-relatively less important/or essential-supporting information, and that in applying techniques of simplification or summary to texts, it is usually the latter type of information that gets lost. The question of whether or not such subordinate information should be reduced or eliminated has never been a straightforward one. It was pointed out earlier (in 3.3 and 4.6) that difficulties in comprehension has sometimes been related to lack of redundancy. On the other hand, long units may cause difficulties by containing difficult "content".

b. It is worth noting here too that the proportion of substantiation (clauses) eliminated is significantly much higher

than that of explanation. This could be explained with reference to two points:

First: It was noted that, though substantiations and explanations share several formal features, they are basically different. An "Explanation" is defined as a "description of an event or state of affairs considered distinct from the event or state of affairs it explains. In the case of assertion - substantiation, on the other hand, rather than describing a different event from that asserted, the substantiation part constitutes what is asserted in the first part, or what is asserted consists of what is stated in the substantiation.

Second: Substantiations often contain "subjective" information since it is used, basically to provide a reason for uttering a preceding assertion, that is they provide evidence as to why in the writer's opinion an assertion is true.

While explanations are more objective since they give reason about why something happened or why something is "as it is".

Therefore, in eliminating more substantiations than explanations the simplifier aims at retaining events which give objective explanation to other events/states of affairs, and as a result reinforces the unity and chronological sequence of the units, while eliminating subjective information (i.e. substantiations) which adds little to the main message of the text.

3. Conditionals: It has also been noted from the above table, that conditionals are reduced in the simplified version. This could be due to the fact that only temporal and locative conditionals are retained in B while counterfactual conditionals are eliminated completely. It should be emphasised here that counterfactual conditionals too represent subjective information since the writer brings elements of comparison from a "non-accessible" world in order to support and intensify his descriptions of certain events. This type of information, however,

tend to occur at a very low level of abstraction such as in A1. Here is an example for illustration:

- A14. 1. All this time I was getting on towards the river.
 2. however fast I went
 3. I couldn't warm my feet
 4. to which the damp cold seemed riveted
 5. As the iron was riveted to the leg of the man
 I was running to meet.

This can be represented as follows:

1. Assertion — 2. Substantiation of 1
3. Concession of 1
4. Substantiation of concession 3
5. Conditional of substantiation 4
 (Comparative)

4. Causal relationships: Most of the instances representing causal relationships are retained in text B. Causal relationships have always been favoured by writers and rhetoricians as one of the simple relationships which causes little difficulty in comprehension.

5. Generally speaking, hypotactic relationships are signalled primarily by the relative sequential position of the sentences and optionally by "connectives" such as "because, but, in that etc.". The two texts compared are similar in respect to the markers they contain and the order in which sentences are presented. Markers are always used to signal causal, concessions and comparative conditionals in both texts. Substantiations are only marked twice using "in that", and "to be sure". Explanations, in most of the cases, are marked by the verb form "-ing", that is why ambiguity arises sometimes in differentiating between explanations and temporal conditionals marked by their "verb" form. There is no attempt, however, in text B to make explicit such relationships. Moreover,

there are few "explanations" and temporal conditionals that are left unmarked in the two texts. This seems to contradict with Winter's findings that markers are commoner in University text-books than in other written material, "because teaching books try to make the relationships as explicit as possible to facilitate comprehension" (1971).

The difficulty that unmarked relationships may cause to an uninformed learner can be illustrated in the following example (quoted in 5.2.3).

"there are, however, several important characteristics which show that *Amphioxus* is really a primitive relative of the vertebrates. This little animal has no backbone, no series of vertebrae running the length of the back and stiffening the trunk, it has however a fairly effective substitute in a structure occupying the same position, known as the "notochord"."

It seems at least possible that a reader coming to this text unprepared, and lacking certain information about biology, would read the concession as a substantiation, i.e. would interpret 'lack of backbone or vertebrae in the spine' as being characteristics *Amphioxus* shares with vertebrates. He would have then to revise his interpretation on reading the true substantiation.

This, however, is simply one manifestation of the confusion likely to arise when relationships are not marked and the reader is unfamiliar with the material. It is probably significant that Winter (1968) found relationships marked more frequently in college text-books.

6. The analysis also revealed that paratactic relationships are more frequently used in the simplified than in the original version. This can be explained by reference to the pattern of organisation between units, e.g.

- | | | | |
|----|--|-------|---|
| A. | He was awfully cold,
to be sure, I half
expected to see him
drop ... and die of
deadly cold. | (and) | His eyes looked so
awfully hungry too.
that when I handed him
the file, it occurred ...
he would have tried to
eat it. |
|----|--|-------|---|

This can be represented in the following way:

Assertion —┐	(and)	Assertion —┐
Substantiation ₁		Substantiation ₁
Substantiation ₂		Substantiation ₂

In the simplified version however, this is cut down to:

B. He was awfully cold and His eyes looked awfully hungry

represented as:

Assertion and Assertion

By eliminating supporting information in each unit, it is possible, however, for single statements or assertions to be linked together by coordination.

7. Binary characteristics: the above description of inter-sentential relationships has much in common with Winter's descriptions of "Semantic Clause Relationships": (1.7.6). As in Winter's description, the relationships here are binary, although again as in Winter, one rhetorical unit simultaneously enters into more than one relationship. Thus one unit may stand as an Explanation with respect to another but itself be supported by a conditional in relation to which it is, therefore, an assertion, statement, e.g.

- A1
1. It was a rimy morning and very damp.
 2. I had seen the damp lying on the outside of my little window
 3. as if some goblin had been crying there all night
 4. I saw the damp lying on the bare hedges
 5. like a coarser sort of spider's webs

This can be analysed as follows:

- | | | |
|---------------------|-------|---------------------|
| 1. Statement | ————— | 2. Explanation |
| | | 3. Conditional of 2 |
| 4. Explanation | | |
| 5. Conditional of 4 | | |

or, one unit may stand as "concession" with respect to another but itself be followed by a "consequence" with which it forms a "causal" relationship, e.g.

- A15-16
1. I knew my way to the Battery pretty straight
 2. I have been there on a Sunday with Joe.....
 3. In the confusion of the mist I found myself too far to the right.
 4. Consequently had to try back along the riverside.

This can be analysed as follows:

- | | | |
|--------------------------------|-------|------------------------|
| 1. Assertion | ----- | 2. Substantiation of 1 |
| | | |
| 3. Concession of assertion 1 | | |
| 4. Consequence of concession 3 | | |

8. Hierarchical nature of logical relationships:

The above analysis suggests that it is possible to view texts of this type as being structured hierarchically with primary "Assertions and Statements" at the top, supported by substantiations and explanations at a second level, and may further be followed by substantiations, concessions, comparative conditionals at a third, even lower level, as was noted from the examples analysed in 3 and 7 above.

Whether it is possible to extend this to a claim that such a hierarchical description reflects the intention of the writer, i.e. the top-most assertions represent the main message, and that items lower in the tree represent less essential parts of his message, one can only speculate. However, it can be plausibly argued that substantiations at least are intended to be subordinate in importance to the assertions they support. And if the account given here of the function of substantiation is accepted, then it is not implausible to claim that a reason for making an assertion is subordinate in total importance to the assertion itself. The same is true for concessions. If this subordinate information, however, is further supported by more detailed explanatory information, this latter comes

even at a lower level of subordination. Certainly such a view of the structure of texts is essential for simplification of texts, it could help the writer/simplifier to eliminate less important information which may get in the reader's way and at the same time, retain a certain degree of redundancy which facilitates his comprehension.

Some support for this view can be found in the work of Werner and Kaplan (1963). They use the linguistic distinction between "paratactic" and "hypotactic" structures to divide experience of events and its subsequent expression in linguistic form into two types: paratactic and hypotactic.

In paratactic expressions, events are described as concurrent or in sequence. The use of 'and' or 'and then' is a typical paratactic link between clauses. In hypotactic expressions events, etc. are described in terms of "a causal or conditional relationship, that is one event may be dependent upon or subordinate to the other." (p.171).

Clearly in paratactic structures both conjuncts are asserted, whereas in hypotactic structures, one conjunct seems to be (strongly) asserted while the other is presupposed or subordinate.

They claim that "paratactic" utterances occur first in the Child's language development, and then extend to cover hypotactic expressions as well and then replaced in that area of hypotactic expressions such as "A because of B". Some evidence for this claim has been put forward by Katz and Brent (1968). They found that in their expressions of causal events, younger children tended to prefer "and then" whereas older ones used "because" and "therefore".

It could be argued therefore that inter-sentence hypotactic relationships of the type discussed here reflect the author's view of the relative importance of different sections of his material. It could also be argued that if paratactic expressions precede hypotactic ones in the Child's linguistic development then paratactic structure will be easier to comprehend than hypo-

tactic structures. In fact this is what Urquhart's work seems to confirm.

"The significant results all confirmed the hypothesis that paratactic texts should be easier than hypotactic texts."

(1977:224)

5.4 General Conclusions:

Four main points can be concluded here, from the previous analyses:

First: Simplification appears to have very little effect on chronologically ordered texts. Moreover, chronological order seem to determine the syntactic order of clauses in sentences.

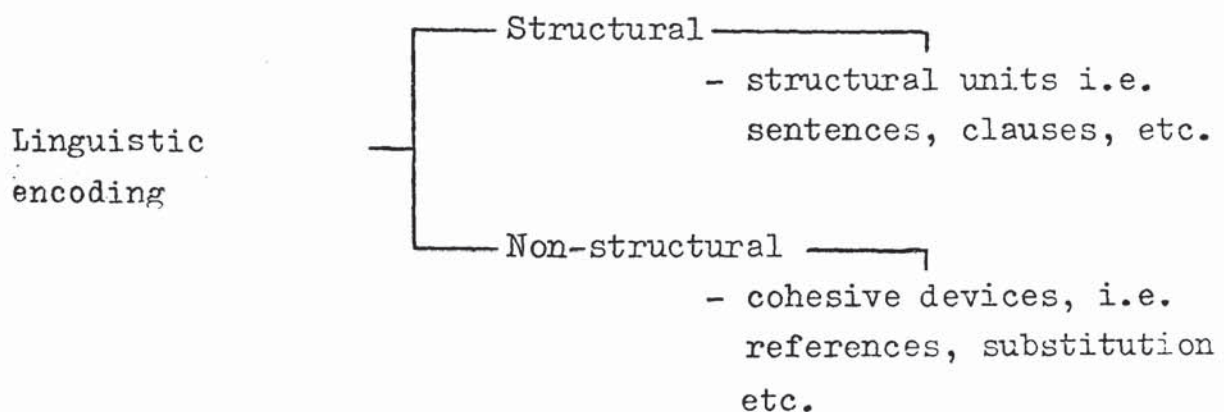
Second: Simplification appears to have very little effect on those units which are spatially ordered. Those units which are ordered according to their position in space are retained in the simplified version without alteration.

Third: However, it appears that simplification has a greater effect on the logical relationships between sequences of sentences/clauses. Paratactic structures are favoured to hypotactic structures. In hypotactic texts, units functioning as explanation, substantiation and comparative conditionals tend to be left out/reduced during simplification.

Fourth: It has been noted that there is a correspondence between eliminated units and certain types of "narrative motifs". Most of the units functioning as substantiations, comparative conditionals and explanations, which are eliminated in the SV correspond exactly to eliminated background and evaluation motifs, which appears to support the assumption that this type of information is regarded as less important than others represented by assertions, statements/event motifs.

CHAPTER VIText Structure and Simplification.

The last chapter examines the relationships between lower level structures (i.e. clauses and sentences). It also examines the natural and rhetorical principles which underlie such relationships, and the effect of the simplification process on them. This chapter, however, is concerned with structures at the lowest level of organisation, i.e. structures below the sentence level. It presents a comparison of the original version of chapter three in Great Expectations with the simplified version selected, in terms of the linguistic encoding of the two versions. The following framework is used for comparative statements on the two texts:

6.1 Structural Units:

It has been suggested in the first chapter that simplification procedures should be based on conclusions derived from reading comprehension programmes, as to what constitutes difficulties in reading for particular learners. Comprehension formulae generally assess the readability of a text at this level according to three main factors:

1. Complexity of sentences
2. Length of sentences
3. Number of difficult words.

6.1.1 Complexity of sentences:

An investigation of the effects of syntactic complexity requires to be based on a particular grammatical model that indicates which structures are syntactically more complex than others. The syntactic units described in the texts in this study are based on the grammatical framework described by Quirk et al.

This grammatical framework is primarily selected because it is commonly known to be "theoretically neutral". It subscribes to no one specific linguistic theory. Alternatively, it draws heavily both on the long-established tradition and on insights of several contemporary schools of linguistics, and since we do not intend to be involved in a detailed discussion of theoretical issues in this study, it was thought that such a "neutral" framework is a convenient tool for the kind of analysis undertaken in this chapter.

6.1.1.1 Grammatical framework:

Quirk's "Grammar" distinguishes sentences as either simple or complex. A simple sentence contains one clause, and can be analysed into elements: Subject-Verb-Complement, Object and Adjuncts.

A complex sentence, on the other hand, contains more than one clause. The two main devices for linking clauses together within the same sentence are that of coordination and subordination. Co-ordination is a linking together of two or more elements of equivalent status and function whereas subordination is a non-symmetrical relationship holding between two clauses X and Y in such a way that Y is a constituent or part of X. Quirk et al. call these "subordinate" clauses and "superordinate" clause, the former being a constituent or part of the latter.

In discussing comprehensibility, however, coordination is the kind of link most used for optimum ease of comprehension,

"it is notable that in spoken English where immediate ease of syntactic composition and comprehension is at a premium, co-ordinate structures are often preferred to equivalent structures of subordination"

(Quirk 1972:795)

Which agrees with the conclusions reached by Urquhart and others (5.1.1.3) that

"paratactic structures are easier to comprehend than hypotactic structures."

(Urquhart 1977)

The relationship between constituent clauses in a complex sentence is much more complicated. Clauses connected by various devices of subordination can be inset inside each other in a chinese box fashion and therefore cause great difficulty in reading especially if they are long or contain complex clauses. Less complex are those sentences where both co-ordination and subordination devices are used simultaneously.

In discussing sentence constituents, it is necessary to refer to the distinction made by Quirk et al between dependent and independent clauses. An "independent clause" is a clause capable of occurring by itself. A "dependent" clause is a clause which is subordinate to another clause and cannot occur alone.

Dependent clauses however, may be classified either by their "structural types" in terms of the elements they themselves contain or by "function", i.e. by the structural position they have in the superordinate clause. According to the former there are three main classes of dependent clauses:

1. Finite clauses.
2. Non-finite clauses.
3. Verbless clauses.

According to Quirk et al (1972) Verbless Clauses are the ones that very often cause difficulties in reading because they can be ambiguous. The absence of subject and verb leaves doubt

as to which nearby elements are the subject and the verb. It is not always possible to postulate a direct analysis of subject and finite verb form. Moreover, when a verbless clause becomes reduced to its bare minimum of a single complement or adverbial, it may not be easy, however, to distinguish from an oppositional construction, a non-restrictive clause or an adverbial which is a direct constituent of the main clause.

Non-finite clauses, although they have no distinctions of person, number or modal auxiliary, are less likely to be ambiguous than verbless clauses. Together with the frequent absence of a subject, this suggests their value as a means of syntactic compression. That subject and finite verb form are omitted is a hint that their meaning should be recovered from the context. It is indeed possible to postulate certain pronoun subject having the same reference as a noun or pronoun in the same sentence.

Dependent clauses may also be classified according to their function in a superordinate clause, i.e. a subject, complement, object or adverbial. In addition they may function as post-modifiers, adverbial modifiers or propositional complements.

In studying the patterns of dependent and independent clauses within a sentence, it was found that of the three main types of inclusion relation between sentence-constituents, i.e. left-branching, nesting (i.e. medial branching) and right-branching, it is the first and second that tend to cause more difficulties in reading comprehension especially if the nested element is long and complex. George Miller (1962) after a series of psychological experiments found that: Left and centre branching constructions, e.g. "the cat the dog chased killed the rat" gave adult subjects to whom the sentences were read aloud great difficulties in recall test. He explained the greater difficulty of such constructions as compared to "right branching" constructions, in terms of the greater strain the former impose on the short-term memory.

Depth of embedding is also another factor which affects readability. Schlesinger (1968) found that the degree of embedding had a significantly greater effect on readability, 3-degree embedded texts took longer to read than 1- or 2-degree embedded texts.

6.1.1.2 Comparison between texts A and B:

In comparing the two texts, however, it was found that the simplified version (B) favoured coordination rather than subordination. This can be shown in the following table:

types of sentences	A	percentage	B	percentage
Simple	35	34%	4	15%
Compound	22	22%	9	33%
Complex	12	12%	6	22%
Compound-Complex	33	32%	8	30%
	<u>102</u>		<u>27</u>	

Table 1: Sentence types in Text A and B.

The table shows that the most significant difference between the two texts is the greater number of compound sentences in the simplified version than the simple sentences. This may be explained by referring to the fact that in text A simple sentences were mostly associated with "direct speech". In text B, however, "direct speech" was either cut out completely in certain parts of the text or was reported in "indirect speech" in the other parts. In the latter case, the short simple sentences in A were restructured into more complex sentences to report what went on between participants. Here is an example:

Text A: a - "I thought he looked as if he did", said I
 b - "looked? when"
 a - "Just now"
 b - "where"

- a - "yonder", said I, pointing "over there, where I found him nodding asleep, and thought it was you".....
- "Dressed like you, you know, only with a hat". I explained.
- ".... and with - the same reason for wanting to borrow a file".

(p.51)

Text B: "I said that I thought he looked as if he did, and that I had seen him just then, dressed like him and having an iron on his leg, and I pointed to where I had met him".

(p.16)

The effect of that on Text B is that there are very few simple sentences in that text. Instead these simple sentences are grouped into a chinese-box-like structure which is much more complicated than the original sentences. This raises a question as to the utility of such a revision for learners. Longman Structural Readers Handbook states that 'Indirect Speech' transformations should be introduced from stage 4 onwards. The examples given for stage 6 include sentences considered to be of reasonable maximum length and complexity for that stage.

They told us to stand in a line and then
(they) asked us who we were.

In this example there is two clauses each of which contains only one degree of embedding, which is thought to be suitable for learners at this stage. In the selected simplified version, however, in the example quoted above, there are three clauses linked together, each of which contain 2-3 degrees of embedding.

The structures which came as a result of "indirect speech" transformation, however, seem to contradict with the fact that embedding was eliminated completely in sentences where clauses are operating at Subject position, where it usually causes most

difficulty in comprehension. It is also reduced greatly where clauses operate as complement and as part of prepositional phrases.

The following table explains this:

	A	B
Clauses at S	3	-
Clauses at C	15	2
Clauses at O	17	8
Clauses at A	6	4
At Prep. Phrases	8	1
	<hr/> 49 <hr/>	<hr/> 15 <hr/>

Table 2: Clauses operating as elements of clause structure in Texts A and B.

The proportion of clauses occurring at O and A to the total number of subordinate clauses was similar in both texts. As regards adverbials in B, the clauses which were retained in that position mainly locate and identify one of the main participants in the story, and therefore form an essential part of the "content" of the text. The reason for retaining adverbial structures, in spite of their complexity can be explained by reference to Halliday's statement:

"In English, typically, processes are expressed by verbal groups, participants by nominal groups and circumstances by adverbial groups..
... "

(1973:149 -150)

Generally speaking, the writer is not obliged by the grammatical and lexical structure of English to give this circumstantial information, but in narrative texts where such information is essential to the understanding of other types of information in the text, its elimination could affect discourse comprehension.

In B, complex structures at O, however, are mainly due to "reported speech" constructions which will be discussed in a later section (6.1.4).

Of course syntactic complexity may occur at other levels of structures than sentences and clauses. In this text, however, there is no significant difference in the way the two texts deal with phrase structure, while modification and qualification in complex phrase structure are similar in both texts.

It should be noted here that the aim of the simplifier of the selected version is, as he puts it:

"to preserve everything possible of the vigour of the original the syntactic structures selected here are mainly those of the original writer. The intention being that they should be of intermediate difficulty, between simplified and full English."

(Introduction to the Simplified Version)

6.1.2 Sentence length:

Sentence length is usually calculated according to the number of words contained. Comparing the two texts it was found that complex and compound - complex sentences tend to be shorter in text B than A, while simple and compound sentences are very much similar in length. This may be seen from Table 3 below:

	A			B		
	No. of sentences	No. of words	Words per sentences	No. of sentences	No. of words	Words per Sentences
Simple	36	217	6	4	30	7
Compound	22	347	16	9	145	15
Complex	12	330	28	6	129	21
Compound-Complex	33	1043	32	8	219	27

Table 3: Sentence length in texts A and B

Sentence length is not reduced by cutting individual words here and there, but by cutting sentence-constituent-clauses. Table 4 illustrates how simplification affects the number of clauses per sentences.

	A			B		
	No. of sentences	No. of clauses	No. of clauses per sentence	No. of sentences	No. of clauses	No. of clauses per sentence
Compound	22	56	2.5	9	22	2.4
Complex	12	44	3.7	6	13	2.1
Compound-Complex	33	152	4.6	8	35	4.2

Table 4: Number of clauses per sentence in Texts A and B.

The most significant difference here is that between the number of clauses contained in complex sentences in A and B. It appears that the number of clauses within sentences are reduced where the relationships between constituent clauses are fairly complex in order to ease comprehension, while in sentences where relationships between constituent clauses are fairly simple, the number of clauses in them is slightly reduced. Complex sentences here correspond to hypotactic structures discussed in the last chapter where connectives like "because, before, if, etc." are used. While coordinated sentences correspond to "paratactic" structures where the connectives are mainly "and" and its equivalent.

It may be concluded here, therefore, that sentence length alone has relatively little relevance to the simplification of texts. Only when it correlates with other features can it be regarded as a source of difficulty. This appears to agree with Schlesinger (1968) who argued that sentence-length is not a major factor in readability (in 5.1.1):

"A text may be composed of short sentences which contain less redundancy than an equivalent text with long sentences, and that lack of redundancy may cause difficulty".

In this text, the simplifier appears to cut sentence-length whenever it co-occurs with sentence complexity and difficult vocabulary.

6.1.3 Lexical items:

Lexical items are generally considered difficult either because they are unusually long in terms of the number of syllables or because their overall frequency in the language is low.

In the simplified version selected, it is taken for granted that the student will know the vocabulary of simplified English, i.e. the first three thousand words in Thorndike and Lorge's "A Teacher's Handbook of Thirty Thousand Words". The words outside that vocabulary are defined within the simplified vocabulary in a glossary.

For example, words like "affectionate", "complement" and "humour" are retained while words like "sequestered" "imputation" and "incoherent".... are eliminated. This is not because they are not useful words but because a student with a vocabulary of two or three thousand words has many thousands of more common words before he comes to these comparative rarities.

The aim is to eliminate all words outside the commonest three thousand unless there are some obvious reason for keeping them. The vocabulary limitation of the selected text may therefore be broadly defined as starting from three thousand word level and includes new words (suitably glossed) up to a seven thousand word ceiling.

New words are evenly spread throughout the book, and therefore the reader does not come across a discouraging multitude of words in the first chapter. Words outside the "three thousand words" are not introduced at a greater density than twenty-five per thousand running words of text. These new words, moreover, are not printed in black type because it was thought that such an indication would lead to an undesirable concentration on the words rather than the sense, and could encourage the reader to develop the wrong reading strategies by isolating words from the context in which they should be learnt and by

failing to infer meanings of unknown words either from the context or from the knowledge of related words. As the simplifier puts it:

".... skill of inference is one of the most important things to develop at this level"

(Introduction to the selected simplified version)

In this text, lexical items are simplified in two ways:

1. Deletion
2. Substitution

First: Deletion:

The elimination of lexical items is directly related to simplification of content. Lexical items are not usually individually eliminated. They are often taken away as a part of an information unit which is thought to contain difficult content. "Content" is always regarded as "the chief determiner of readability". (Schlesinger 1968:141).

Second: Substitution:

The following list of words (I) from text A is substituted with words in II from text B:

	I	II
1.	try	turn
2.	cold	shivering
3.	hound	dog
4.	shoot	jump
5.	wittles	food
6.	rimy	frosty
7.	imp	little devil
8.	warmint	man
9.	gruff	coarse
10.	liquor	brandy
11.	gobble	swallow

It appears that the general tendency in substituting these items is to replace less familiar with more familiar ones. Items like wittles and warmint are archaic and therefore are replaced by the modern familiar words food and man. Items like rimy and imp are likely to occur only in literary works and therefore they would not be expected to appear in a vocabulary limitation list at this stage. They are replaced with: frosty and little devil. As to the remaining words, there is a slight change in the meaning of the substituted words:

try	:	turn
cold	:	shivering
hound	:	dog
gruff	:	coarse
shoot	:	jump
liquor	:	brandy
gobble	:	swallow

Widdowson (1974) has observed that oddities always arise where the simplification of lexical items is carried out at word rather than phrase level. He said that

"the difficulty inherent in all restricted vocabularies is that the simpler and more frequent a word is, the more likely it is to have multiple meanings, so that to replace a more difficult or less frequent word with a simpler and more frequent one is often to increase rather than reduce the difficulty of a text."

(p.196)

This is not true of all the items substituted in the previous list. It appears to be the case that when substituting items with more familiar ones the simplifier is also selecting the nearest synonyms for them.

Palmer (1976) argues that there is no real synonyms, that is no two words have exactly the same meaning in the language (p.65). He therefore, distinguishes between five ways in which possible synonyms can be seen to differ. These can be summarised as follows:

1. Some sets of synonyms belong to different dialects of the language, so that what is called "fall" in the United States, is called "autumn" in Britain.
2. Some sets of synonyms belong to different "styles" or "registers", e.g. "a nasty smell", might be in the appropriate setting "a horrible stink", the former is jocularly very "posh" and the latter "colloquial".
3. Some words may be said to differ only in their emotive or evaluative meanings, the remainder of their meaning, their "cognitive" meaning, remains the same such as: hide/conceal and statesman/politician.
4. Two items may appear to be synonymous in a particular context. It could not be said that they have the same meaning but they have the same meaning only in that particular context. Paraphrases of items come under the same category.
5. Two items may be close in meaning, i.e. their meaning overlap, for "mature", for instance, possible synonyms are adult, ripe, due, where each of these words shares some semantic features (or what Lyons 1969 calls semantic componentns) with the other.

According to this classification, the substitution of "wittles", "warmint", "rimy" and "imp", by "food", "man", "frosty" and "little devil" can be referred to "difference in style", while cold/shivering and gobble/swallow can be referred to 3 above. In the first set, both items contain the cognitive meaning "relative absence of heat", however, the semantic features (+ fear) and (+ shaking) which are part of the meaning of "shivering" are lacking in "cold". In the second set, "gobble" and "swallow" are similar in the sense of "getting food down one's throat". The semantic features (+ greed) and (+ noise) associated with "gobble" are again lacking in "swallow".

Items "shoot/jump" can be referred to 4 in the above classification, "shoot" is used in text A in a rather restricted (figurative) sense which might well puzzle the learner who may only know the word in collocations such as "shoot an animal"

or "shoot with a gun" etc. neither of which is appropriate in this context.

The relations between "hound/dog" and "liquor/brandy" is not represented in Palmer's classification. In each set items are related in terms of hyponymy, "one term being more specific than the other" (Palmer 1976:64). The difference between the two sets is that while in the first set, the original version uses the "more specific" item "hound", in the second, it is the simplified version that uses it "brandy".

This inconsistency in substituting items can be seen again in "try/turn" and "gruff/coarse". In the first set "turn" denotes the actual movement into a different direction more specifically than "try", in the second "gruff" refers to the man's voice and manners, while "coarse", in addition to that refers to other things such as food, clothes, language etc. The two sets, however, can be referred to 6 above since the two items in each set overlap in meaning. It is possible that in text A the writer depends on the context to supply the specific information that is lacking in some of the items such as "try" and "liquor", while in text B, as a result of eliminating parts of the informational "content", the simplifier uses more specific items to compensate for this loss.

This seems to agree, only partly, with Widdowson's comment quoted earlier and also with Mountford's view (1976) that simplified versions use less specific terms than the original.

6.1.4 Direct and indirect speech:

Although a reference to instances from "direct" and "indirect" speech is made throughout the previous analysis it was thought that it deserves a separate discussion.

In text "B" "direct speech" was dealt with in three ways: by retaining it as in sentences 18-21, or by cutting it out completely such as in sentences 29-30 and 33-40, or by changing it into indirect speech. In this section, it is the third

type that will be dealt with. Examples will be quoted from sentences 60-70, 72-77, 88-92 and 94-97 in text A and corresponding sentences in text B 23-26.

The differences between "direct" and "indirect" speech can be shown as follows:

A: (60) "I am afraid you won't leave any of it
for him" I said (p.51)

B: (23) "I told him that I was afraid he would not
leave any of it for the young man" (p.16)

In the case of "indirect speech" the words of the speaker are subordinated in the form of a that-clause within the reporting sentence. In the case of the "direct speech", his speech is rather incorporated within the reporting sentence by means of quotation marks and retains its status as a main clause. Notionally, the incorporated speech has the function of an element in the clause, structure of the reporting sentence:

what I said was: "I am afraid you won't "

Structurally, the reporting clause in direct speech may have an independent status like a main clause and may be classed with "comment clauses" so that the reporting and the reported clauses are loosely related.

The conversion from direct to indirect speech entails various other changes in the form of the clauses.

1. A shift from second person to third pronouns: in the example just quoted you - he or from second person to first pronouns such as in:

Text A: "Mr. Jaggars left a word, would you wait
in his room" (p.188)

Text B: "The clerk told me that he had left a
word I should wait in his room" (p.66)

This is, of course, related to the fact that the narrator in this story is not a "bystander" who is just watching and reporting but he is the subject of the story too.

2. A change in demonstratives and adverbs such as:

A: (72) - looked? when?
- just now? (p.51)

B: (25) - I had seen him just then.
(p.16)

3. A change in the verbal phrase: the shift from direct to indirect speech is always accompanied by a back-shift of the verb, from present - past and from past, present perfect and past perfect to past perfect.

A: (75) "Yonder", said I, pointing, "over there where I found him nodding with sleep."
(p.51)

B: (25) I pointed to where I had met him
(p.16)

4. All these changes apply to statements and also to questions and commands, except that the latter two types of utterance involve other changes as well:

1. The incorporated clause is introduced by "if" in questions and by to-infinitive in commands, e.g.

A1: (88) "Did you notice anything in him" (p.52)

B: (25) "He asked if he had a bruise on his left cheek."
(p.16)

A2: (94) "Show me the way he went" (p.52)

B: (26) "he ordered me to show him the way to him."
(p.16)

2. As is shown in these examples verb phrases are provided to make clear the illocutionary function of the utterance, e.g.

he asked..... he replied
he ordered

3. Appropriate adverbs are provided to make exclamations clear:

A: "... Not here? exclaimed the man striking his left cheek with the flat of his hand"

(p.52)

B: he asked excitedly if he had a bruise on his left cheek.

(p.16)

A: - can you take me
- can I take you Estella!!
- you can then

(p.32)

B: I willingly agreed

(p.97)

Two points need to be emphasised here in relation to "indirect speech" structures in text B. First: they tend to complicate the language there. In this text the most complex sentences are those related to "indirect speech" (23, 24, 24, 26). Each contain two or sometimes three-degree of embedded structures which, to recall Schlesinger (1968) (in 1.5.2) is likely to cause difficulty in reading and comprehension. Here is an example for illustration:

B: (25) I said that I thought he looked as if he did and that I had seen him just then dressed like him and having an iron on his leg and I pointed to where I had met him.

(p.16)

and it has also been noted, too, that these sentences are the longest in the whole text (in terms of the number of words).

Second: At least four "transformation" rules have been applied in each case in order to obtain an indirect speech structure which, if we recall Howatt's comment that structural complexity is having

"to apply a number of rules simultaneously in order to produce a correct sentence."

(1974:15)

could cause difficulties in reading the sentences.

It is not clear why the simplifier chose these constructions rather than retaining parts of direct speech utterances which are much shorter and simpler in structure, and moreover, less detached.

6.2 Cohesion:

Cohesion is a part of the semantic structure of the text, likely to undergo changes in the process of simplification in order to adjust to other syntactic and lexical changes made in the text. It is discussed here in terms of the way Halliday and Hasan (1976) define it, namely as a

"network of non-structural semantic text-forming relations."

(1976:7)

In their view, structure accounts for the formation of sentences but not for the organisation of texts. So cohesion with its devices of cross-reference, ellipsis etc. is invoked to account in semantic, not structural, terms for the interrelations between sentences.

In the system of Halliday and Hasan, the main categories of linguistic devices by which cohesion is expressed, are the following:

1. Reference (Pronominal, demonstrative... etc.)
2. Substitution (with so, do, etc.)
3. Ellipsis (nominal, verbal, clausal)

4. Conjunction (devices indicating relationships between sentences)
5. Lexical cohesion (repetition of lexical items, hyponyms, synonyms, collocation, etc.)

In the two texts under study the following features were analysed:

1. The overall number of cohesive ties compared with the number of sentences in each text.
2. The number of lexical ties, referential ties and conjunctions per number of sentences in each text.
3. Distance of cohesive ties from their antecedents in each text.

Only inter-sentential conjunctions have been counted. Substitution and ellipsis as cohesive devices have been excluded since their use in written narrative texts seems to be rather infrequent.

Only one instance of each tie per sentence has been counted, although it is questionable whether this is the best approach. After all a cohesive item may be considered a tie with the antecedent every time it appears in a sentence. The analysis of cohesion has been carried out according to the system used in Halliday and Hasan (1976). The discussion will be illustrated with examples from the texts whenever necessary.

6.2.1 Comparison between texts A and B:

First, some general trends in text B should be pointed out. As shown in table (1), the number of sentences per text has decreased in text B (26% of the OT). The amount of reduction however depends on the strategy of simplification used which mainly reduced the number of sentences and the number of clauses within sentences. Yet some sentences and clauses remain very much unaltered.

	A	B
Number of sentences	103	27
Number of cohesive items	367	84
Number of cohesive items per sentence	3.5	3.1

Table 5: Total number of cohesive ties and their distribution per number of sentences.

This indicates that simplification does not seem to affect the relative frequency of cohesive ties in text B. Thus the number of ties per sentence remains almost the same. The figure showing the number of ties per sentence is naturally lower for SV where the sentences are shorter than OV. However, the elimination of sentence-elements during simplification retains the absolute frequency of inter-sentential ties as compared with A.

Yet in the use of different types of ties some trends are observed:

Lexical:	Number of items in A	percent to total	Number of items in B	Percent to total
Repetition	86	44%	13	50%
Synonyms, near synonyms etc.	27	14%	5	19%
Collocations and super-ordinates	76	40%	7	27%
Antonyms	4	2%	1	4%
TOTAL	<u>193</u>		<u>26</u>	
Grammatical:				
Pronominal	128	74%	49	85%
Definite articles, etc.	30	17%	5	9%
Comparatives	6	3%	2	3%
Conjunctions	10	6%	2	3%
TOTAL	<u>174</u>		<u>58</u>	

Table 6: Types of cohesion and their frequency in percentage in texts A and B.

It has been noted that in the category of lexical cohesion there is a relative increase in straight repetition of lexical items in B. The use of such types of lexical cohesion as synonyms, near synonyms and items from the same root as the antecedant also increases slightly. Collocational items and superordinate concepts decrease. The tendency to diminish the proportion of some types of lexical cohesion i.e. collocational items and antonymms, and to increase the proportion of repetition of items supports Mountford's findings of a

"more transparent system of lexical cohesion
in simplified texts."

(Mountford 1976:155)

The figures may also reflect a tendency to restrict the vocabulary for the benefit of the reader.

On the other hand, the fact that B uses synonyms, near synonyms... etc., proportionally more frequently than A could be taken to mean that the simplifier has retained some of the original complexity while relying on shortening sentences and reduction of subordinate material to create a simplified effect. This is what was actually revealed by the comparison of the two texts undertaken in Chapter 5. Subordinate information represented by substantiations, conditionals and explanations is very much reduced, while essential information represented by assertions, statements and causals is retained unaltered in the SV (5.3.2.1). Here are some examples to illustrate the point:

A: (17) "Making my way along here with all despatch I had just crossed a ditch which I knew to be very near the battery, and had just scrambled up the mound beyond the ditch when I saw the man sitting before me."
(p.49)

B: (5) "I had just crossed a ditch when I saw the man sitting before me."
(p.15)

The proportion of grammatical cohesion generally has increased

This is mainly due to a greatly increased use of grammatical reference, i.e. personal pronouns, possessives, etc. The use of pronominal reference is natural in the situation of foreign language learning and teaching, where a closed system such as pronouns can be easily memorised. The increased use of pronominal reference in text B may be due to the greater clarity of reference in the simplified text from which subordinate information has been omitted. In the original text, the use of pronominal ties may be more liable to cause ambiguity of reference. A reduction of ideas in text B also influences the type of cohesion that will be used later on in the text e.g.

A: (26) "He was awfully cold, to be sure, I half expected to see him drop down before my face and die of deadly cold. (27) His eyes looked so awfully hungry, too, that when I handed him the file, and he laid it down on the grass, it just occurred to me he would have tried to eat it if he had not seen my bundle."

(p.49)

B: (14) "He was awfully cold and his eyes looked awfully hungry."

(p.15)

Here the reduction of subordinate information leaves only the lexical items which carry the essential information. Consequently, later references will be easier to trace, particularly if they occur in the form of repetition of lexical items or pronominal reference.

On the other hand, cohesion based on the use of such items as demonstratives, comparatives decreases in B. One possible explanation is the general decrease of subordinate information (5.3.2.1) as in this example:

A: (31) he was already handing mincemeat down his throat in the most curious manner, more like a man who was putting it away somewhere in a violent hurry than a man who was eating it.

where the underlined comparative clauses were left out in B.

Text B uses relatively fewer conjunctions than text A. This indicates that the relationships which in A are expressed by conjunctions are now left for the reader to infer from a sequence of syntactically simpler sentences with a relatively complicated development of sub-topics. This raises the question about the significance of conjunctions for reading comprehension. There is evidence that the facilitating effect on recall of information and by implication on reading comprehension, of this type of "organising material" may have been overestimated (Meyer 1975: and Urquhart 1976). Meyer and Urquhart were also dealing with University students of English, whose language skills are fairly advanced. In both groups, then, the reader was, presumably capable of taking advantage of redundancy on the topical level, and thus needed less support from the "organising material". At lower levels, however, as Meyer suggests, students could be trained to develop reading skills where the "organising material" is actually used to aid reading comprehension, and also to aid them to organise their ideas in writing.

Table 7, finally shows the percentages of different types of ties at different distances from their antecedents. As can be seen there is little change in the distribution/density of ties in text B. In the case of lexical cohesion, ties mediated over two sentences or where they occur at the distance of 5 or more sentences, while in the case of grammatical cohesion, most of the ties occurred at the distance between 0-2 sentences (the antecedent in the previous or next to previous structure.)

	A			B		
	0-1	1-2	5+	0-1	1-2	5+
Lexical	11	23	66	28	15	57
Grammatical	55	27	18	71	14	15

Table 7: Distance of ties and their antecedents in A and B shown in percentage.

It seems likely that this is a feature that corresponds closely to the development of discourse topic or subtopics. Halliday and Hasan (1976) refer to these characteristics of text with the term "texture" and write:

"Characteristically we find variation in texture, so that textuality is a matter of more or less. In some instances there will in fact be dense clusters of cohesive ties, giving a very close texture which serves to signal that the meanings of the parts are strongly interdependent and that the whole forms a single unit."

This observation of the SV studied here supports Halliday and Hasan's ideas. The simplified version presents a pattern of cohesive distances which is significantly shorter than the original text in one respect. In it, the proportion of lexical and grammatical ties with the distance between 0-1 has increased. This seems to reflect a strategy of creating unity between separate sentences through lexical cohesion.

6.3 Conclusions:

On the basis of the analysis above, it could be said that in the text studied, simplification has affected sentence complexity, lexical structure and cohesion. As regards "sentence complexity", while simplification, generally, tends to reduce the degree of embedding in certain sentences/clauses, it, however, increases it in others, namely, "indirect speech" constructions. The same inconsistency can be noted in lexical structures where certain items are substituted with "more specific" items while others are replaced by hyponymic terms and near synonyms.

Simplification of cohesion, however, seems to be directly related to simplification of informational "content". The reduction of subordinate/less important information such as discussed above (in 4.6.1 and 5.3.2.1) can be seen in the decrease of the number of near synonyms, collocational and comparative items. The reduction of sentence elements can be

seen in the increased density of grammatical reference. Whereas the generally observed shortening of sentences has led to a decrease in conjunction.

Simplification, therefore tends to restrict the degree of semantic information, to establish a more transparent pattern of reference in the text and to reduce the connecting devices between sentences and clauses.

Altogether, the results that have been presented here, though in no way conclusive, support the conclusions made by Lautamati (1978) that:

"in Simplification syntactical considerations and considerations of sentence length overrides aspects of rhetorics."

(1978:176)

It should be emphasised here, however, that if the aim of simplification is to make a text more easily comprehensible or

"to adjust the learner's language behaviour in the interests of communicative effectiveness."

(Widdowson 1977)

so, it should optimally include also those aspects of discourse which are used to facilitate communication.

CHAPTER VIIVerification Of Findings On Simplification.

In this chapter, the main aim is to examine the simplification patterns found in Great Expectations against other similar texts, in order to assess how far the findings are generalisable for simplified literary texts. The texts are:

1. The Crysalds (C) Chapter 3/5 J. Wyndham (Hutchinson)
2. Dombay and Son (DS) Chapter 18/12 C. Dickens (New Classic Series)
3. The Go-Between (GB) Chapter 9/9 L. Hartley (Longman)
4. Treasure Island (TI) Chapter 4/3 R. Stevenson (McGraw-Hill)

These texts are similar to Great Expectations in that they are narrative fiction. A second and important factor in choosing them is that, like Great Expectations, their original versions are frequently included in the reading syllabus of undergraduate degrees in English Literature in overseas teaching situations.

A rough analysis of these additional simplified texts shows that the simplified versions have much in common with the features of Great Expectations discussed in previous chapters.

Simplification features shared with Great Expectations will be discussed first. Any features which are idiosyncratic to a particular text will be discussed separately.

7.1 Textual features:7.1.1 Syntactic features:

The common syntactic features found in the five texts are:

1. Reducing the length of long sentences by cutting dependent clauses, mainly identifying ones; and adverbial phrases functioning as adverbials of manner such as "with a peculiar sound", "in a feeble voice"; and of place such as "in that house of mourning", "in his old berth"..... etc.

2. Cutting out comment clauses and comparative structures.
3. Co-ordination, as a linking device between clauses, is favoured over subordination (except for DS).
4. Thematised elements are inconsistently regularised in the SVs.

There are other features, however, which are found only in some of the texts:

1. In TI, single items such as intensifiers and adverbials were cut out, e.g. "Very much, enough, instantly".
2. One of the features that characterises GB, C and TI is that in them long sentences are very often broken down into several shorter sentences, but while in TI most of these shorter sentences contain single clauses, in GB and C they often contain two clauses. Here are some examples:

TI A: He got downstairs next morning and had his meals as usual, though he ate little, and had more, I am afraid, than his usual supply of rum, for he helped himself out of the bar ..
... and no one dared to cross him.

(p.17)

B: He got downstairs next morning. He ate little. He helped himself to the rum. Nobody dared to stop him.

(p.13)

GB A: Marian did not need to earn a living but Ted Burgess did, perhaps she was helping him, perhaps in some mysterious way these notes meant money in his pocket.

(p.103)

B: Marian did not need to earn money but Ted Burgess did. Perhaps she was helping him. Perhaps the letters contained advice which brought profit to him.

(p.54)

In GE and DS, sentences containing three or four clauses are retained in the same syntactic form in which they occur in the original. Longer sentences are very often cut down to two-clauses such as in the following example:

DS A: "At first when the house subsided into its accustomed course, and they had all gone away, except the servants, and her father shut up in his own rooms, Florence could do nothing but weep, and wander up and down, and sometimes in a sudden pang of desolate remembrance, fly to her own chamber, wring her hands, lay her face down on her bed, and know no consolation: nothing but the bitterness and cruelty of grief."
(p.154)

B: "At first Florence could do nothing but cry and wander up and down. And sometimes, in a sudden pain of remembrance, she would fly to her room and lay her face down on her bed. She knew no comfort, only the bitterness and cruelty of grief."
(p.49)

3. In GB and C, clauses are added sometimes, in order to spell out an implicit idea, which can be reached only by inference, e.g.:

GB A: "Dame Rumour hath it that she spoons with you"
At this I hit him and
(p.107)

B: "Some people think that she spoons with you"
I did not like the remark and I hit him...
(p.57)

4. In C, lexical simplification is very often associated with changes in syntactic structures, e.g.

C A: What schooling we had took place in the mornings
(p.24)

B: On the farm we had lessons only in the mornings
(p.14)

5. There is only one example in DS where an "active sentence" is transformed into a "passive". In the other texts either "passive" forms do not occur at all such as in GB and C or they are left out, such as in TI and GE.

Here the example from DS:

A: "Nor do they see it anymore that day." (p.151)

B: "It was not seen any more that day." (p.48)

6. In GE and C "indirect speech" transformations result in more complicated structures than their equivalents in the original versions.
7. In all texts, except TI, missing verbs are provided and non-finite verbs are sometimes transformed to finite verbs.
8. In TI, there is inconsistency in supplying missing elements, moreover where finite verbs are used they are sometimes abbreviated.

7.1.2 Lexical features:

Two of the five texts contained a glossary, "GE" and "DS" which indicates that, in the three other texts, only the basic vocabulary for that stage is used. Simplification of lexical items is mainly carried out either by deleting them or by substituting them with others.

The lists of lexical items that are substituted during simplification varies from a five-item to a twenty-item list. Following Palmer's distinctions between types of synonyms (6.1.3) these items may be categorised into six groups:-

1. Lexical items are substituted by phrases such as in:

timbers	wooden beams
admit	allow to enter
ascend	went up

2. Literary items are substituted by "standard" items, e.g.

elated	pleased
summons	orders
dejected	miserable
weep	cry
leaped	jumped

3. Lexical items are substituted by other familiar items which are considered by standard conventions and pre-suppositions to have the same meaning in a particular

context, this does not mean, however, that they are synonyms, they only appear to be synonyms in that particular context, e.g.

murmured	said
noticed	saw
bought	got
stirring	awake
threshold	door

In each of these examples, the meaning given by the item in the second column represents only part of the meaning of the equivalent item in the first column, e.g. to murmur something is to say it in a low indistinct voice.

4. Lexical items are substituted by items which are less specific and which contain only a core duster of some of the semantic features of the item in the original version, e.g.:

wheezing noise	loud noise
long smear	thin stress
fidget	shake

In each of the items substituted in the simplified version there is at least one semantic feature missing from the original item, e.g.:

wheezing	1. + sound	loud	+ sound
	2. + whistling		+ high volume
	3. + breath-like		+ human
	4. ± human		
	5. ± high volume		

By substituting loud for wheezing the distinctive characteristic of the sound is lost, (i.e. 2 and 3).

This applies to the two other items:

fidget	+ move	shake	+ move
	+ excitation/ fear		+ excitation/ fear
	+ cause		+ cause

smear	- shape	stream + long in shape
	- running	+ running
	- limited location	± limited location

5. Lexical items are substituted with other items which only express the "cognitive" component of these items but miss the "emotive" component, e.g.:

dreadful	+ fear	horrible	- fear
shivering	+ fear	cold	- fear
grab	+ greed	seize	- greed

6. In the lists below two lexical items are substituted by their generic superordinates: "parlour/room" and "hound/dog" while the other two, which are themselves superordinate terms are substituted by "more specific" items:

A	B	A	B
parlour	: room	cooling drinks	: water
hound	: dog	liquor	: brandy

7.1.3. Lexical and grammatical cohesion:

The common features found in the five texts are as follows:

1. The proportion of grammatical cohesion, mainly personal and possessive pronouns has increased in all versions.
2. Lexical cohesion in the form of repetition of lexical items has increased.
3. Collocational items, superordinates, near synonyms and antonyms have greatly decreased.
4. Comparative items and demonstratives have decreased.
5. Pronominal reference occurred at a distance between 0-2 sentences, as compared with a distance of 0-5 in the OV's.

Significant differences:

1. In C and TI the number of ties per sentence is reduced.

In TI grammatical cohesive ties have decreased because long sentences are broken down into independent simple sentences where no conjunctions are provided. In C grammatical ties are retained between clauses and not between sentences. So the nature of inter-sentential relationships between sentences which are expressed in the original versions by conjunctions are now left to the reader to infer from a sequence of syntactically simpler sentences.

2. Lexical ties in GE, DS, GB mediated over 2 - 5 sentences while in C and TI they occur at distance of 5 sentences or more.
3. In GE, DS and GB, however, the number of cohesive ties per sentence in SVs is not significantly different from OV. This reflects a different strategy of simplification, which is mainly carried out by eliminating complete sentences. This helps to retain the same frequency of inter-sentential ties in the SVs as in the OVs.

7.2 Natural and logical relationships:

7.2.1 Temporal relationships:

1. One general feature that underlies the relationships between units in these texts (with the exception of C) is chronological order. In GB and DS there is no instances of deviation from chronological order in Original and Simplified versions. In GE, when units deviate from this order in OV, they are deleted in the SV (5.3.2.1). In TI, units which deviate from this order in OV are either restructured in SV to correspond to it such as:

TI: A: As he was speaking, he had risen from bed with great difficulty, holding to my shoulder with a grip.

B: He gripped my shoulder, and rose from bed.

Or completely deleted such as in:

A: "..... what do he know about seafaring men?
(I had been in places as hot as pitch, and
mates chopping round with Yellow Jack, and the
blessed land a-heaving like the sea with earth-
quakes), and I lived on rum, I tell you."

(p.15)

B: "What does that doctor know about seamen?
 I've lived on rum, I tell you."

(p.11)

In C, however, the situation is different. The narrator pauses in the middle of the episode in order to recount a past accident, which he thinks may explain certain events which occurred in this episode. There is no attempt to re-structure or delete these deviated units in the SV:-

C: A: "And no wonder. Only some years later could I appreciate how badly troubled he must have been when he came home to find Sophie had sprained her ankle, and that it had been David Storm, the son of Joseph Storm, of all people who had seen her foot.....
 But I think he could have been reassured had he known of an incident at my home about a month after I met Sophie. I had run a splinter into my hand..... "

(p.25)

B: "when I was older I understood why he was so worried that I knew the secret But something happened one day that made me see how important it was to keep the secret. I had run a splinter into my hand

(p.15)

In Text A, it is clear from the time reference given (a month after I met Sophie) that this incident happened at some point in the past, and before the events of this episode begin. This time reference is changed in SV to "one day". Nevertheless, it could still be understood from the context that the narrator is referring to an incident that took place some time before the events of this episode begin.

This type of organisation is often referred to as "flashback" (Chatman 1975) where events are presented in an order which is

the reverse of their actual sequence. In this text, this incident disrupts the sequence of events presented in the episode by dividing it into two parts, the first part follows a certain temporal sequence and the second follows another which starts at a previous point in time to the first.

2. Clauses are also restructured to correspond to spatial order in GE and GB e.g.

GB: A: While he stood hestiating, I hurried off and found her at a writing table in one of the rooms, I don't remember which but I remember shutting the door after me.

(p.106)

B: While he was hesitating, I went to one of the rooms. I remember shutting the door behind me. Marian was sitting at a desk.

(p.55)

7.2.2 Logical relationships:

1. It has been noted that in most of the cases where clauses are deleted, they function as explanations, substantiation or conditional, e.g.:

1. TI: A: He got downstairs next morning, to be sure, and he had his meals as usual, though he ate little, and had more than his normal supply of rum for he helped himself out of the bar. (p.17)

B: He got downstairs the next morning. He ate little. He helped himself to the rum. (p.11)

which may be represented as:

A: Assertion + (Substantiation₁ + Concession
Substantiation₂ substantiation of 2

B: Assertion + Assertion + Assertion

2. GB: A: Perhaps they even contained money, cheques or banknotes, and that is why he said "Tell her it's all right, meaning he had received it." (p.102)

B: They might contain cheques or banknotes. (p.54)

which may be represented as:

A: Assertion substantiation₁ substantiation of 1
B: Assertion

3. DS: A: He is not "brought down" these observers think, by sorrow and distress of mind. His walk is as erect and his bearing is as stiff as ever. He hides his face behind no handkerchief. But his face is something sunk and rigid and is pale.....

(p.150)

B: He is not overcome, these people think,
by great sorrow. But his face is lifeless
and pale.

represented as:

A: Assertion $\left\{ \begin{array}{l} \text{Substantiation} + \text{Substantiation}_2 \\ + \text{Concession} \end{array} \right.$

B: Assertion + Concession

The same sort of procedure was observed in GE:

A: I knew my way to the Battery pretty straight, for I had been there with Joe on Sunday. (p.48)

B: I knew my way to the Battery (p.15)

represented as:

A: Assertion + substantiation
B: Assertion

It has also been noted that "substantiation" is very much more affected by simplification than "explanations" and concession. The same observation was made during the analysis of GE (5.3.2.1)

2. It appears also that temporal conditionals, and causal relationships are the least affected, in these texts, by the process of simplification.

3. It has been pointed out also (5.3.2.1) that paratactic structures are favoured to hypotactic structures, and in many

cases hypotactic structure in OV's are restructured into paratactic ones in SV's. In the four texts under study, it is noted that there are differences in using this procedure. In DS, for example, there are few attempts in SV to replace hypotactic structures with paratactic ones. In fact, hypotactic structures seem to be favoured in this text. In the SV of TI on the other hand, because long sentences are very often cut down into short single sentences, there are very few instances of two-clause sentences retained in their original form. These are mainly connected with "when, but or and", e.g.

A: "He paused when he got into a sitting position" (p.16)

B: "He stopped when he reached the edge of the bed." (p.12)

The GB is similar to GE in this respect. The SV tends to use paratactic structures whenever is possible, e.g.

GB:1.A: "It wasn't difficult to find him, for he was usually working in the harvest fields..." (p.101)

B: "He usually worked in the fields and it was easy to find him." (p.54)

and:

2.A: "I gave him the envelope which he at once tore open." (p.102)

B: "I gave him the envelope and he opened it immediately." (p.54)

In C, however, there is no consistency at all in following this procedure, in some cases hypotactic structures are restructured into paratactic structures and sometimes paratactic structures are restructured into hypotactic ones, e.g.

C: 1.A: "When her ankle was quite recovered she was able to show me the favourite corners of her territory." (p.24)

B: "Sophie's ankle got better and she liked to show me the places she liked best."

(p.14)

Whereas in another example, this technique is reversed:

2.A: "It was not difficult at the midday meal to slip away from the table and disappear, everyone would think someone else had found a job for me."

(p.24)

B: "It was quite easy to get away later on. When I had gone everyone thought that someone else had given me a job to do, so they stopped looking for me."

(p.14-15)

7.2.3 Rhetorical markers:

There are few common features among the five texts in this respect:

1. Hypotactic relationships are signalled by the sequential position of the sentences/clauses.
2. The common rhetorical markers used are "for, as, forms, but, although, however, so and if".

However, these texts differ as to their use of rhetorical markers to signal the relationships between sequences of sentences/clauses:

- a. In C markers are provided in order to indicate the relationships between sentences, e.g.:

A: I had run a splinter into my hand and when I pulled it out, it bled a lot. I went to the kitchen with it only to find everybody busy getting supper to be bothered with me, I rummaged a strip out of the rag-drawer for myself. I tried clumsily for a minute or two to tie it.

(p.25-26)

B: I had run a splinter in my hand. When I pulled it out, my hand bled a lot. When I went to the kitchen everyone was very busy. So I found a rag and tried to tie it on my finger.

It is not clear, however, whether the marker "when" helps to clarify the meaning of the text any more than it is in

original version. It does not seem to clarify the relationship between clauses 3 and 4 which is clearly a "concession" in the OV. Nor does it have any meaningful function in relation to clause 2. In fact, the text could have been interpreted in the same way - has it not been there. It seems however that what is needed here is a "concession" marker:

"I had a splinter in my hand. When I pulled it out my hand bled a lot. I went to the kitchen, but everyone was very busy..... So I found a rag and"

- b. In GB markers are not used consistently. This can be noticed in the following passage:

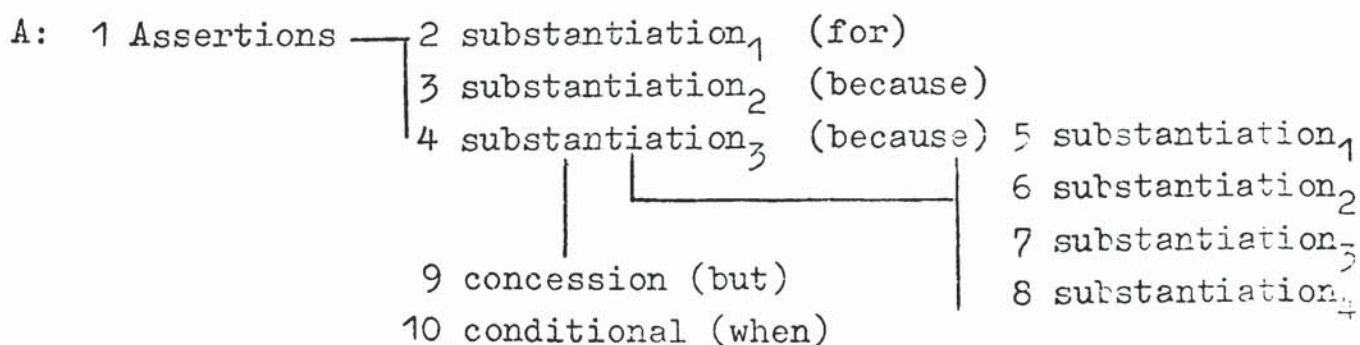
GB: A: (1) They were golden afternoons in more than one sense (2) for I took my duties as a Mercury very seriously (3), all the more because of the secrecy enjoined on me, (4) but most of all because I felt I was doing for Marian something that no one else could. (5) She chattered to her grown-up companions to pass the time, (6) she turned a smiling face to Lord Trimingham (7), sat next to him at meals (8) and walked with him on the terrace, (9) but when she handed me the notes, young as I was, (10) I detected an urgency in her manner which she did not show to others.

(p.102)

B: (1) They were wonderful afternoons in another way, too (2). As the messenger of the gods I was very serious about my duties. (3) I was employed in secret affairs. (4) I was doing something for Marian which no other person could do. (5) She talked to her friends, (6) she smiled a lot at Lord Trimingham (7). She sat next to Lord Trimingham at meals (8) and walked with him outside. (9) But when she gave me the letters, (10) her manner was quite different.

(p.53)

which may be represented as follows:



In text B, however, the first three substantiations represented by clauses 2, 3, 4 are not marked, neither are the following four clauses 5, 6, 7, 8, which substantiate the substantiation represented in 4. Only the last two clauses are marked by "but" and "when". In fact it is quite difficult to identify the relationship that holds between the first four clauses without reference to the original version. The lack of markers in the simplified version make their relationships ambiguous, and even if the first clause causes the reader to anticipate substantiation or explanation of some sort, this does not explain the relationship of clause 3 to the preceding and the following clauses.

- c. Ambiguity caused by the lack of rhetorical markers is evident also in TI. Here is an example:

A: He wandered a little longer, his voice growing weaker but soon after I had given him his medicine, he fell at last into a heavy swoon-like sleep. What I should have done I do not know. Probably I should have told the whole story to the doctor for I was in fear lest the captain should repent of his confessions. But my poor father died quite suddenly that evening which put all other matter on one side.

(p.16-17)

B: His voice grew weaker. () He fell into deep sleep. () I don't know what I should have done. () Told the doctor the whole story I suppose. But my poor father died suddenly that night. () We forgot everything else.

(p.13)

The deletion of certain clauses in this text has affected the relationships between the retained ones, while the lack of markers (together with the subject and auxiliary ellipsis in 4) makes it hard to identify these relationships in a way that corresponds to the meaning expressed by them in the original. For example, clauses 1 and 2 in B can only be related temporally: first "1" and then "2", which does not correspond to their relationship in A.

- d. In DS, however, markers in the original version are retained in the simplified version. They are also provided when the relationship between sentences/clauses is not easily inferred from the context, e.g.

DS: 1.A: The grand funeral moves slowly down the streets
 The feathers wind their gloomy way
along the streets and come within the sound of
 a Church bell. In this same Church, the pretty
 boy received all that will soon be left of him
 on earth - a name.
 (p.150)

B: Then the grand funeral moves slowly down the
 street until it comes within the sound of a
 Church bell. It is the same Church where
 the pretty boy received all that will soon be
 left of him on earth, a name.
 (p.48)

2.A: The service over, and the clergyman withdraw,
 Mr. Dombey looks round, demanding in a low
 voice
 (p.151)

B: When the service is over and the clergyman
 leaves, Mr. Dombey asks
 (p.48)

This is also noted in GE, where markers in the original are always retained. The relationships between clauses/ sentences in the SV are always made clear either by their position in the sequence or by the rhetorical markers used, e.g.:

A: I knew my way to the Battery pretty straight,
for I have been there on a Sunday with Joe, and
Joe sitting on an old gun, had told me that when
I was 'prentice' to him regularly bound we would
have such larks there. However, in the confu-
 sion of the mist I found myself too far to the
 right, and consequently had to try back along
 the riverside.

B: I knew my way to the Battery, but in the confu-
 sion of the mist I found myself too far to the
 right, and consequently had to try back along
 the riverside.

7.3 Discourse organisation:

7.3.1 Story level:

The four texts in this study differ significantly as to the way the Story is simplified.

In GB for example, the number of episodes contained in the story is not affected at all by simplification. In each version there are 23 episodes.

In TI and DS some of the episodes are left out. In the first, the original contains 34 episodes and the simplified contains 29. While in the second, the original contains 62 episodes and the original 35. This again raises the question whether it is possible to claim that there is a hierarchy as to the degree of importance of the information represented in episodes. In most cases, the deleted episodes are concerned with detailed information about events or states of affairs which could be reduced without affecting the overall structure of the story. In DS for example, among deleted episodes there is one episode describing the offices, clubs and richness of Mr. Dombey etc., which appear as subordinate enough information to be regarded as secondary or subsidiary information about events and main participants.

In C, on the other hand, there are 17 episodes in the original and 44 in the simplified version. Some chapters in the original were broken down into short episodes.

For example, in the OV of this text, the first episode can be readily divided into three parts, the first gives background information about the narrator's dreams and hopes in life, a kind of "short orientation", the second reports the narrator's meeting with a girl who needed help, and the third reports his meeting with her family after he took her home. In the SV, however, each of these parts is put into a separate episode. This seems to indicate clearly that a chapter does not always correspond to an episode, and to confirm the fact

that an episode is identified internally in terms of "a group of events" which happen to occur at a certain place, and time, by certain (group of) participants, and which can be recognised as such.

As to the functional sections of a story, i.e. orientation, complication, evaluation, resolution and coda, they are hardly affected by simplification at all, i.e. they are sequenced in the same order as in the original versions. In GB, however, the evaluation section is delayed until after the coda.

7.3.2 Episodes:

1. Spans which are most deleted in all texts are mainly background and evaluation spans (much less so are collateral and performative).
2. In each text there is a setting span at the beginning of the episode yet in GB it was intermingled with events in the original, and made clearer in the simplified version. In C it is intermingled with background in both versions.
3. Event spans intersperse throughout the episode.
4. The last span in each text is an event span.
5. Performative spans expressed "direct discourse" in all the SVs except for few examples in C, e.g.

1.A: "My father says that if one quarter of the things they say about the old people are true they must have been magicians, not real people."
(p.24)

B: "Sophie said that her father thought that people talked a lot of nonsense about old people."
(p.15)

2.A: "Doesn't he think that they were able to fly?"
(p.24)

B: "I asked her if he thought that the old people could fly."
(p.15)

Text "C" here resembles GE in that "indirect speech"

structures contain more complicated structures than their "direct" equivalents in OV's.

7.3.4. Spans:

1. Spans were often much shorter in the simplified versions than in the original except in DS where the tendency was to delete complete spans instead of cutting down the number of motifs contained in them.
2. In most cases it was motifs giving explanatory or descriptive information that were deleted in this process.
3. Spans representing the same information and which contain one or two motifs are grouped together to form a longer span.
4. Shorter spans tend to interrupt (or be embedded in) longer ones.

7.3.5. Motifs:

1. Motifs are also affected by simplification in these texts, the most deleted motif elements is that representing "Range" as in:

GB: A: he was usually working in the harvest fields
on the far side of the river. (p.101)

B: he usually worked in the fields. (p.52)

and "delayed agents" e.g.

1. DS:A: All this time the bereaved father has not
 been seen by his attendant. (p.149)

B: All this time the bereaved father has not
 been seen. (p.47)

1. TI:A: The captain was struck dead by thunder
apoplexy (p.19)

B: The captain was dead. (p.15)

In general, each of these texts appears to use different techniques in order to produce a "simpler" text. Never-

theless, these are some common features which seem to underlie the simplification of these texts.

7.4 General procedures underlying simplification of narrative texts:

1. It appears from the previous account that the general procedure underlying simplification on the level of text has not been developed since the fifties. Just as West would have done it, simplification of syntax is mainly carried out by cutting down the number of clauses/sentences. In doing this however, it is not clear whether the aim is to shorten these sentences or to reduce their structural complexity as well. This uncertainty is reflected also in West's comment:

"A complex sentence of four or five lines length is bad; but of course a chain of simple sentences joined by "and" or "but" or a colon used where there might be a full stop offers no reading difficulty."
(West 1950)

Whatever the intentions of the simplifiers may be there are two arguments that weigh against this procedure:

First: It has long been emphasised that neither sentence length nor sentence complexity cause difficulties in comprehension, at least at higher intermediate and advanced levels. Rothkopf (1972) argues that in adult learning structural features such as sentence length have little effect on the amount of information they gain from a text. While Schlesinger (1968), after a series of experiments on adult comprehension and recall of information (1.7.3 and 1.7.4) has concluded that structural complexity has no effect on reading rate and comprehension of text since adults always use semantic clues to overcome syntactic difficulties.

Second: It has been frequently noted that shorter sentences which lack redundancy tend to cause more difficulties in comprehension, than longer ones. Short sentences are always associated with high rate of information injection since in them every word counts like telegram messages, and the loss of the meaning of one item could affect the general interpretation. Low rate information however, is always expressed

in longer sentences, where a certain degree of repetition/redundancy could help the reader to enhance his interpretation of the structures from the preceding or the following context (Bellert 1970).

2. It seems contradictory, however, that while simplifiers cut down sentences in order to reduce sentence complexity, or at least that is what they claim to do, they at the same time complicate certain sentences as a result of "indirect speech constructions".

The aim of incorporating "direct-indirect speech transformations" in these texts, as stated in Longman's Structural Reader is to enhance the learner's knowledge of this type of transformation. The limit as to the complexity of such structures is not stated clearly in L.S.R.:

"How long may a sentence be? And how complex?... this handbook cannot lay down exact limits and give details of their progressive relaxation from stage to stage."

(L.S.R. 1976)

What is suggested here is that the decision as to the reasonable length and complexity of structures involved in such a transformation is left to the individual simplifier. In the texts under study, sentences which result from "direct-indirect speech" transformations contain at least three degree of embedding, and are found to be the longest and the most complex structures in the SVs in terms of words (6.1.4). This seems to disagree with Schlesinger's conclusions (1.7.4) that three degree nested texts have a significant effect on the rate of reading and comprehension while there is no difference between 2, 1 and 0 degree nested texts. It also contradicts with the general procedure underlying simplification techniques which calls for a reduction of sentence complexity.

However, there are two general points to be made here in relation to "direct-indirect speech" transformations:

First: It seems useless to incorporate "indirect speech"

structures in SVs unless the learner has the opportunity to immediately compare them with the "direct-speech" forms to which they relate.

Second: "Direct-Indirect speech" transformations not only involve cutting down certain information items which may lengthen or complicate these structures, but also entails eliminating certain "speech features" which cannot be readily expressed indirectly. Such information like dialectal or idiosyncratic speech characteristics may not be important in normal everyday conversation, but they are fairly important in narrative discourse where they help the reader to identify the participants' background and personality. So what is lost during these transformations is something beyond the structural level as we may see in the following example:

- A: A: "Now lookee here!" said the man. "Where's your mother?"
 B: "There, sir!" I timidly explained. "Also Georgiana. That's my mother."
 A: "Oh!" said he, coming back. "And is your father alonger your mother?"
 B: "Yes, sir," said I; "him too; late of this parish."
 A: "Ha!" he muttered then, considering. "Who d'ye live with -- supposin' you're kindly let to live, which I han't made up my mind about?"
 B: "My sister, sir - Mrs Joe Gargery - wife of Joe Gargery, the Blacksmith, sir."
 (p.37)

- B: "He asked me where my father and mother were. When I had pointed out their tombstones to him, he asked me with whom I lived. I told him I lived with my sister, wife of Joe Gargery the Blacksmith."
 (p.10)

3. The strategy of simplification pointed at earlier, namely cutting down clauses/sentences, seems to affect other areas. One such area is cohesion mainly "conjunctions" and lexical cohesion. As regards "conjunctions", while it has been

suggested earlier (6.2) that their value as reading aids may have been overestimated, the comparison between SVs and OV's has emphasised their importance for indicating propositional functions and therefore for facilitating the interpretation of the text. They may be especially essential for Foreign learners who depend mainly on written discourse in their studies and who may be trained to make use of organisers of this type.

As regards lexical cohesion, the decrease of synonymous, near-synonymous and collocational ties not only leads to the limitation of semantic information but also it denies the learner the opportunity to use his "inferential reading" ability, which could be very dangerous for learners especially at an advanced level when they are likely to be introduced to authentic written discourse. Paradoxically, this is one of the areas which occupied simplifiers for quite a long time. In his recommendations for the "lead into undapted books" - stage, West suggests that:

"At this level "inferential meaning (should be) encouraged difficulties have to be overcome without compelling the learner to look at the back of the book."

(West 1950)

4. Altogether, the results that have been represented above indicate that there is an intuitive tendency in the simplification of texts to reduce the degree of semantic information: "Content" has always been regarded as one of the factors which affects readability of texts. (Schlesinger 1968) This raises the question of how redundant, in fact, the information is that has been lost in the process of simplification. The problem that such a question raises is related to the fact that narrative discourse, as was pointed out earlier (3.3), evokes a vast world of potential detail. In other words, because narrative discourse, by its nature, represents only a selected series of events from a vast continuum of actions, there will always be certain details between the events represented in a narrative which will never be expressed, no matter how detailed the style, but which nonetheless remain im-

plicit. In this a narrative discourse is different from other types of discourse since the "difficulty" of content is not defined in terms of "difficult material" in the same way it is defined in a scientific or an expository text, but rather in terms of whether the author selects those events which are sufficient to elicit in the mind of his reader this continuum. The lack of such semantic clues could lead the reader to a different interpretation from that intended by the original author.

5. There is more, however, to this problem besides the loss of such information. Part of the message is, perhaps, contained in the manner the information is presented. The framework within which the information is presented, its relatedness to earlier information, its internal organisation, seem to make a text more/less difficult to read. In the SVs studied here, it was noted that this aspect was neglected during simplification. While certain sentences and clauses are omitted to cut down sentence length and complexity, there is no attempt on the part of the simplifiers to reorganise the remaining structures in such a way as to ensure a similar propositional development to that in the OV's. Moreover, there is little attempt to make explicit relationships between unmarked sentences/clauses in OV's. In some texts (T1, C) markers in OV's are left out or substituted by others which obscured sentence relationships. In many cases, therefore, where substantiations/explanations are deleted and no markers are provided between units, there is difficulty in identifying any meaningful relationships among units of the text.

The difficulty caused by the lack of rhetorical organisation/markers can be illustrated by the following example:

TI: A: "¹He got downstairs next morning, (to be sure),
²and had his meals as usual, ³(though) he ate
little, ⁴and had more, (I am afraid), than
his usual supply of rum, ⁵for he helped him-
self out of the bar, ⁶scowling and blowing
through his nose, ⁷and no one dared to cross
him."

B: ¹He got downstairs the next morning. ²He ate
 little. ³He helped himself to the rum.
⁴Nobody dared to stop him.

(p.13)

Three clauses here have been left out in the process of simplification, namely 2, 4, 6, and so are the discourse markers, "to be sure" and "although". Obviously the arrangement of clauses in B not only changes the sequence in which information is presented but also alters what the sentence counts as in terms of function, with reference to the original order it could be said that clauses function in the following way:

A: 1 Assertion
 |
 2 Substantiation
 |
 3 Concession 4 Concession
 |
 5 Explanation 6 Explanation
 |
 7 Concession

In B however, clauses could be presented as follows:

B: 1 Statement 2 Statement 3 Statement
 |
 4 Concession (?)

In B, the relationship between clause 4 and the preceding sequence is difficult to identify. It is not clear whether it functions as a concession in relation to 3 or in relation to the three preceding clauses. It could only be identified as a concession in relation to 3, if the reader relates it to the previous context, at the beginning of the chapter where "the captain" asked insistingly and desperately for a drink.

The elimination of clauses 2, 4, 6 together with the lack of discourse markers makes it hard to identify the relationships

between the retained clauses in a way that corresponds to the meaning expressed (by them) in the original. There is no attempt on the part of the simplifiers to establish/mark any kind of relationship between them, nor to reorganise sentences in a way that could yield a satisfactory propositional development. The task of filling-in information gaps as well as establishing relationships between unmarked units is, therefore, left to the reader.

Another point related to information distribution seems to be relevant here. Generally speaking we may say that if a piece of information is incorporated into a separate sentence then it is intended to be taken as having independent significance. If, for example, two events are described in two different sentences, then each event is represented as being significant, in some sense, in its own right. On the other hand, if the two clauses are combined by subordination, this relationship has to be made explicit and one event, that which is referred to in the main clause takes precedence over the other, what which is referred to in the subordinate clause. In this case, the information contained in the subordinate clause plays a supporting role to that in the main clause. If we consider the example above it could be noted that clauses 3 and 5 in A which function as concession and explanation respectively, function as statements in B, which means that information which is intended by the original author to be subordinate and supporting, is now given more significance and prominence.

So, the way in which clauses are combined in SV not only has functional consequences, it also affects the distribution of information contained in them.

To organise clauses/sentences so that they cohesively link up with each other (2.2 and 3.1.2) is not enough. They must link up in such a way as to provide satisfactorily for the kind of relationships between propositions, and the pattern of information distribution, intended by the original author.

6. In some texts, hypotactic structures are changed to paratactic ones. This could be based on the common belief that such structures are "easier to comprehend". However, it was

noted that "and", frequently used in these structures, sometimes obscure relationships between clauses, e.g.

GB: A: It wasn't difficult to find him, for
he was usually working in the fields.

B: He usually worked in the fields and
it was usually easy to find him.

Where "and" is used to mark a reversed Assertion/Substantiation relationship. The advantage of marked causal and temporal relationships over coordinate structures was noted by the Clarks (1968) for their explicitness.

7. It has also been noted that the general organisation principle underlying the sequence of events in four of these texts is "temporal order". There is a general tendency in these texts to eliminate units which refer to past events, namely those Background spans/motifs which give explanatory information to other events. Event motifs which deviate from the temporal order in the OV's are often reorganised to correspond to that order in the SV's.

Temporal order has always been regarded by rhetoricians (Labov 1972 and Chatman 1975) and others to be the "natural order for narratives". Lackstrom, Trimble and Selinker (1972) claim that this order is "virtually forced on the scientific writer in certain circumstances" (p.8). In recent linguistic and psycholinguistic studies it was confirmed that chronologically ordered texts are both faster to read and easier to recall than non-chronological equivalents (Urquhart 1977).

It has been noted that one of the texts, namely "The Chrysalids" deviates significantly from that order in OV and SV. What we have in this text is a "flashback" technique where the author pauses in the middle of a certain sequence of events to recount a group of events which happened on a previous point of time.

This raises the question as to the effect this order will have on the comprehension of the text. According to the previous account, it could cause difficulties in reading and processing texts. The mismatch between story-time and discourse-time (3.3) could probably cause some difficulties for learners who are not familiar with this type of technique.

8. As regards the narrative structure of these texts, the hierarchical structure of the discourse, together with the narrative categories which function at different levels remain the same in the SVs as in the OV, though different in every detail. It is the rich imagery of the original, deleted at different levels in that hierarchy that becomes impoverished. On the story level, episodes representing "subjective" information about the narrator's state of mind, his thoughts and attitudes towards events and other participants are usually cut out. The episode representing the "Evaluation" of the story in each text is greatly reduced.

On the episode level spans representing evaluative information are usually left out. Background spans describing participants unique mannerisms and personal characteristics are often reduced or left out. Performative spans giving information about participants, their background, their speech and their feelings - information which could not possibly be expressed through a narrator or an outsider - are also very often left out.

On the span level: Evaluation and background motifs, which on an interactive level function as comparative conditionals, substantiations and explanations for other motifs, are greatly reduced.

On the motif level, roles representing adverbials of manners, comparative elements and identifying elements are often deleted.

So although the two versions, generally speaking, represent the same story, the elimination of these rich descriptive and evaluative details, and the difference in the rhetorical organisation of each version, result in changes which are so great that the end result is a different pair of discourses. The main point, however, is that a narrative discourse is a continuum, a construct that has a flowing "coherence" which is evoked at every level by repetitions of descriptions, evaluations, comparative statements which relate implicitly or ex-

plicitly to each other and to the participants in the discourse (4.6.3). The elimination of such repetitions in B removes much of the coherence of the original as an imaginative experience (Bellert 1970). The main "coherence" condition satisfied in all SVs is that the participants around whom the narration evolves remain the same, as those in the OV's, throughout the story.

9. In addition to coherence conditions a narrative discourse has also a specific message which should be explicitly or implicitly communicated to the reader/audience. Labov (1972) emphasises that this is mainly represented by evaluative information throughout the discourse. He adds that evaluative information forms a "secondary structure" which underlies the "primary sequence" represented by different discourse units (4.6.4). This raises the question as to the effect simplification has on such information.

Our analysis of the four additional texts earlier in this chapter seems to confirm the assumption made earlier in 4.6.1 in relation to the hierarchy of narrative information. The general procedure underlying the reduction of information in narrative discourse seems to be based on the notion that Event information represent the top most information in the hierarchy, followed by Setting and Background, and then at a lower level come Collateral, Evaluation and Performative. This has led of course to a complete neglect of evaluative information in the SVs. The effect of this on the simplified version is that the task of evaluating the narrative is left to the reader to deduce from other types of information in the narrative and also from the brief "evaluation" section, which could lead to different interpretations of the message intended by the original writer.

The position of "evaluative" information in the hierarchy contradicts with the importance such information has in representing/signalling the narrative/communicative value of the discourse which is emphasised by Labov (1972).

Assuming that simplification of narrative literary texts is legitimate for particular learners, the question is: what type of procedure will yield the best simplified text.

We must, of course, ignore simplification as it relates to non-literary texts, such as are used in tertiary education overseas, in teaching science and technology. Simplification of such texts must perforce involve content, both at the level of lexis, and at the level of propositional development. Simplification of such texts cannot begin without a defined view of how much knowledge of the subject the learner has already.

In the analysis described in this thesis, simplification has related only to literary texts of the narrative kind. This simplification does not have a definable starting point similar to "knowledge of the subject", since almost all knowledge of the world could be relevant to the understanding of a literary narrative.

One is, therefore, inclined to take the linguistic level of simplification as defining the audience for whom the narration is intended. This means that simplification must be seen as an integral part of a total linguistic programme for learners of English. Decisions about which set of procedures are appropriate must then be made in relation to information about the learners for whom the simplified text is intended, their linguistic and communicative competence, and the particular purpose for which they are engaged in reading the text.

7.5 Simplification and current trends in ELT:

It has been noted from the previous account that simplification of teaching materials has tended until very recently to focus attention on lexical and syntactic structures. Such a limited approach is relatively successful in preparing material at elementary and early secondary levels of education where English as a foreign language is taught with a general educational aim in mind, that is, it is regarded as a 'good thing' for then to learn a foreign language as a part of a broad education.

There is usually, however, no immediate and specific requirement for such learners to make use of the language in any communicative situation. The purpose of learning the language at this level is essentially a "deferred" purpose, deferred till the tertiary level of education, normally at University, where a knowledge of English would be helpful in their academic studies. Inevitably, what is taught to learners at this level is not the communicative knowledge of English use, but a knowledge of how the syntactic and lexical rules of English operate.

Learners at an advanced level, on the other hand, are generally highly conscious of the use to which they intend to put language. That use is frequently associated with an occupational vocational or academic requirement..

Over the last ten years or so views on the design and preparation of teaching materials have increasingly taken into account both the advanced learner's specific purpose for learning the language and a description of the language to be learnt that emphasises its character as communication as well as its formal properties. This concern with the communicative properties of language reflects an increasing interest in language functions both by linguists and language teachers. Learning aims, on the other hand, are defined in terms of the specific purpose to which the language will be put. It is believed that where such requirements for communicative ability is matched with especially prepared/simplified material relevant to the needs of particular students, the result is that teaching can be seen to be effective in that the learner begins to demonstrate communicative ability in the area required.

This view of the language as communication has had a profound influence on the direction of ESP (English for special purposes) in general and EST (English for science and technology) in particular. Both the language to be taught and the purpose of teaching it have come into focus more closely as a consequence of the notion. Language considered as communication no longer appears as a separate subject but as an aspect of other subjects.

A corollary to this is that an essential part of any subject is the manner in which its "content" is given linguistic expression. Learning science, for example, is seen to be not merely a matter of learning facts, but of learning how language is used to give expression to certain reasoning processes, how it is used to define, classify, make hypotheses, draw conclusions and so on.

In addition, insights into the nature of scientific discourse have led to a concern for the authenticity of the material prepared for the learners. As it has been suggested in Mountford's work (in 1.2 above) learners should be presented with learning material that is both authentic - appropriate as communication and simplified - appropriate to their level.

The important issue then is that:

"The language should be presented in such a way as to reveal its character as communication."

(Allen and Widdowson 1974)

whether the subject it is associated with is science, psychology or literature. The interpretation of any discourse does not depend on the reader's knowledge of language system or code, but also on the manner in which linguistic elements function to communicative effect.

7.6 Simplification and teaching literature:

It has to be emphasised here that the increasing interest in the language of science has been due to the pressing need, all over the world, for the development of science, technology and industry. This has led to a shift of focus from literary to scientific works, and consequently to a relative neglect of the problems of learning and teaching literature. However, the fact remains that in many parts of the world ELT is synonymous with teaching English for literary purposes and that the main source of reading material is simplified versions of the classics. The approach to the teaching of literature in these teaching situations, or at least in the teaching situa-

tion with which the author of this thesis is familiar, is mainly cultural. That is, to acquaint students with ways of looking at the world which characterises the culture of the English speaking peoples. Such an approach regards a poem or a novel for example as a source of information, like any other source of information, and it directs the learner's attention to questions of the following kind:

1. What did A look like?
2. What kind of a person was B?
3. What does X tell us about the author's philosophy?
4. What do you learn about victorian London by reading e.g. "Oliver Twist"?

This cultural approach also tends to lead to a conception of literature as a chronological sequence. Most literature courses at Universities begin in the distant past (Chaucer, Shakespeare, etc.) and advance towards the present through every "major" period on the way, usually stopping well short of writings which could reasonably be regarded as contemporary. So what students gain from such an approach is not an insight into the beliefs and values of contemporary English speaking societies but a knowledge of their past culture. Two points must be borne in mind here:

1. This knowledge might after all be taught by using material other than literature (such as historical or sociological material).
2. By using literature in this way, one is inevitably misrepresenting its essential nature, one is not teaching literature but is using literature to teach something else.

Whether one attempts to associate literary study with moral effect or with the transmission of cultural knowledge of some kind, in neither case there is an appeal made to the language used. English Language and English Literature are regarded as two separate subjects, and therefore are taught in isolation one from the other. The unfortunate consequences of such a separation have always been noted. It is not unusual

to find literature teachers attempting to teach literary "classics" to learners whose knowledge of the communicative use of English is so limited as to make the work being presented to them almost totally incomprehensible. Very often the teacher resorts to translation and paraphrase to overcome linguistic difficulties. Such a procedure not only has the effect of misrepresenting the nature of literature but also of creating resentment and boredom in the learner and very often there is very little participation in literature classes in consequence.

Simplification of literary works reflects these difficulties too. It is usually carried out by reducing the complexity of structural and lexical elements on the one hand, and on the other, by cutting down details which are thought to cause difficulties in reading unnecessarily. There is no attempt made, however, to investigate the effect of such procedures on the communicative value of the text.

What seems to be most needed is an approach to the teaching of literature, and simplification of literary material, which focuses on the communicative aspect of language, a way of integrating the two subjects: language and literature. What this amounts to, of course, is the study of literary works as kinds of discourse. If one defines the subject in this way, the reason for teaching literature in foreign language situations becomes immediately apparent. Students are engaged in learning the English language: this involves in part learning the language system, the structures and lexis of the language, but it must also involve the learning of how this system is used in communication. The interpretation of any discourse depends on the reader's knowledge of the manner in which linguistic elements function to communicate effect:

"This correlating procedure is necessary for the production and reception of any discourse."

(Widdowson 1975d)

If literature as a subject is given a linguistic basis, it is not necessary (and indeed may be undesirable) to select

on the grounds of aesthetic excellence or because they are representative of different schools and periods, the criteria for selection will be the learner's capacity to understand the language which is used. Furthermore, if literature is to be taught as a form of discourse then on the one hand its textual features must be such as to relate to what the learner knows of English grammar and vocabulary and on the other hand, it must be made clear the different ways messages are communicated in literary writing. Simplification of literary works should reflect this duality.

"Teaching material should be adapted/developed for the teaching of use to complement those for the teaching of system."

(Widdowson 1975)

To adopt a linguistic approach to literature, then, is not to prevent the acquisition of benefits of a cultural or moral kind but on the contrary to provide for their promotion in a systematic way.

7.7 Factors in ESP simplified material:

7.7.1 Sociological:

The initial step is to acquire information about the kind of learner for whom the simplification is to be made. Thus "accurate data relating to age, previous experience of the target language, and the learners knowledge of the subject through L1, and attainment within it can be gathered by standard sampling techniques and the administration of a carefully planned questionnaire" (Mackay and Mountford 1978). In many courses which purport to teach 'English for Businessmen', 'French for Engineers', 'German for Chemists', et. have failed because they were not based on an identification of the actual uses to which language is put by such learners.

7.7.2 Linguistic:

The selection of the linguistic content of the language to be used for particular purposes depends on an adequate and appro-

appropriate description of the language associated with the specialisation. By appropriate description we mean one which not only takes account of the code features of the language system but the communicative features of language use.

7.7.3 Psychological:

Course materials that are designed within a framework of structural linguistics tend to employ the operational tenets of behaviourist psychology. This involves an emphasis on the formation of 'correct' habits; the ability to compose correct sentences through a knowledge of the language system. It is increasingly being recognised, however, that the ability to use the language as a means of communication does not necessarily result from learning to use the language correctly as a formal system. The assumption of the structuralist/behaviourist approach, and one that is widely prevalent, is that once the "usage characteristic of English is learned the students will automatically know how language is put to use in those communicative activities" (Widdowson 1975:3). The evidence is that this does not happen; that what is required as a psychological orientation to ESP is an approach that focuses attention on the learning of the language as a communicative instrument from the learner's point of view; which emphasises the 'problem-solving' role of the learner as a participant in the interpretation and composition of discourse; that sees the

"process of learning a foreign language
(at the tertiary level) not as the acquisition of new knowledge and experience but as an extension or alternative realisation of what the learner already knows"

(Widdowson 1974:140)

This implies, firstly, a shift of emphasis away from assessment of a learner's linguistic knowledge in terms of what he has failed to learn of what he has been taught, towards the effective communicative use he can make of what he has learned; and secondly, making clear the distinction between testing on the one hand and exercising knowledge on the other. Especially

as regards the skill of comprehension, teaching and testing are confused. Asking a learner questions on the content of a written or spoken text may test whether comprehension has taken place. There is no real evidence to indicate that such a procedure is a valid or effective way of teaching comprehension exercising strategies and techniques for understanding.

7.7.4 Pedagogic:

We need to be clear about what language skills need to be focused on, in order to devise pedagogic procedures that will actually develop such skills. The traditional division of language skills is not sufficiently delicate to enable us to describe accurately the learner's needs. Particular tasks requiring certain functional skills must be listed, e.g. abstracting information from texts, taking an active part in oral seminars, essay writing based on analytic procedures, researching, and finding information in libraries. Jordan and Mackay (1973) describe in considerable detail the functional skills employed by overseas postgraduate students studying in the U.K. Universities, which is also confirmed in Candlin et al (1976): "Pragmatically defined language functions constitute the soundest base for course design." The possession of accurate, objective information about the learner, his specialism and his needs, enables the simplifier to narrow down the area of language use and usage, and in particular the mode - spoken and written - from which the linguistic items in communicative patterns of language use, should be drawn.

In this study, however, we are specifically concerned with a particular type of learner, namely language learners who require English as a means of furthering their specialist education. The specialised subject being "English Literature". The approach required, therefore, is discipline-based, where English is both the subject and the medium. The learners, however, are studying simplified versions of narrative texts in their first year as a transitional period before studying

the original versions in later years. This, of course, in addition to other literary subjects such as drama, poetry and literary criticism which are studied in their original form. Narrative texts have always been the main cause of difficulties/complaints for first year learners of English Literature.

A learner entering the tertiary level of education to study "literature" can therefore be supposed to be an adult learner who has acquired reasonable competence of English usage over the previous years of English instructions at the secondary level, given to him by means of a structural syllabus of some kind; on the other hand he will have some knowledge of literature and the methods and conventions of 'literary writing' acquired in his own language, or less so through English. It could also be further assumed that it is written (literary) discourse of academic type with which he will be mostly concerned.

The specification of learners needs has to be taken into account as a crucial factor since it defines what methodology will ultimately have to achieve and in so doing indicate a theoretical orientation to the task of simplification.

CHAPTER VIIIConclusions.

The main aim of this study was to investigate the effect of simplification on narrative texts and to establish an objective method of simplification which is based on theories of language rather than intuition. A subsidiary aim, however, which developed in the course of the study was to establish a method of discourse characterisation in terms of different units at different levels of abstraction which could account for the hierarchical structures of narrative discourse.

It was mentioned above that comprehension lies at the heart of the process of simplification. The concept of simplification cannot in practice be separated from that of comprehension. To state that one "text" is simpler than another must mean that it is in some way more comprehensible. It seems however that there are different levels of simplification and that a text that is simplified for a certain level may not be appropriate for higher/lower levels. This has important pedagogical implications. An advanced learner may be capable of comprehending clauses while much less able to perform higher level tasks encountered in larger discourse units. Therefore, if the aim of learning, at that particular stage, is to recognise structures at higher levels, their function, and the way they communicate information, then texts should be simplified in a way that reflect such an objective. This does not mean, of course, that "text" structural features should be ignored. The learner at this stage should be introduced to samples of structural complexity but these should be controlled to avoid their interference with the learner's understanding of the communicative use of language.

8.1 General Simplification Guidelines:

The results of this investigation suggest three basic ways by which simplification of literary narratives might proceed:

8.1.1 On the Text level:

a. Lexical items:

Simplification of lexical items should be based on the semantic features which characterise them rather than on their frequency, i.e. a lexical item should be replaced by another which unambiguously represents all or most of the semantic features contained in the original item. There are three criteria to be borne in mind, however, when deciding whether or not to replace a relatively rare or archaic item with another:

- a. The relationship between the meaning of the original item and the substitute.
- b. The wider context in which each occurs.
- c. The frequency with which one of them replaces the other in Standard Modern English.

b. Syntactic structures:

1. Long sentences which contain fairly simple components could be retained in their original form. They could only be simplified/changed if any of the component clauses contain complicated structures of the following types:

- a. Embeddings at Subject position, or what is sometimes called (by Quirk et al (1972)) "left-branching".
- b. Three-degree embedding structures at any position.
- c. Structures requiring the application of many transformations at the same time such as negative passives ... indirect speech forms ... etc.

2. Elliptical forms, verbless clauses and non-finite clauses should be normalised. The criteria to bear in mind when de-

ciding whether to include them or not are:

- a. The complexity and the length of the sentence in which they occur.
 - b. The frequency of their occurrence in the same sentence.
 - c. Whether the missing elements are unambiguously recoverable from the context.
3. Comment clauses, repetitive items and uncompleted utterances/sentences should be eliminated to avoid ambiguity.

c. Cohesion:

It has been noted that the semantic unity of a text is created by the interplay of all various cohesive devices contained in it (irrespective of whether they are sentential or intersentential), and not only by using one type to the exclusion of the others. This is particularly important in simplified texts where the reduction of semantic information always affects the texture of the text. What seems to be needed is a proportionate use of various cohesive ties. Two points to be emphasised here:

- a. Synonyms, hyponyms and collocational items should be retained when possible in order to reinforce lexical cohesion on the one hand and to make the learner familiar with the semantic structure of words in FL on the other. The main criterion, however, for retaining such items is whether or not their meaning is inferable from the context.
- b. Conjunctions should be provided in order to make explicit the relationships between structures. Some studies suggest that the value of such devices as reading aids is overestimated (Meyer 1971 & Urquhart 1977). However, it is possible that such devices are more helpful for

foreign learners than for native learners with whom these studies were concerned.

8.1.2 On the discourse level:

1. The order of clauses/sentences should correspond to the chronological order of the events they represent. Clark and Clark (1968) have noted that when asked to describe events that happen in time, like car accidents for example, subjects will normally take up the events in chronological order, "time gives them a quick and ready solution to the otherwise difficult problem of order", (p.236). Urquhart (1977) has also noted that:

"in reading a narrative the reader attempts to arrange the data in a fixed chronological series".

and that the ease with which this can be accomplished depends on how closely clause/sentence order adheres to this order. That is, given a narrative sequence "B-A", where B is the second event, the reader may have little difficulty understanding it, though, as the Clark's found, he may re-order it to "A-B" in recall. However, given a sequence such as D-C, B-A, F-E, where A is the first, B the second, etc., the reader is motivated to order the sequence as A-B, C-D, E-F. He has a great deal of re-ordering to do, and this may slow the reading process.

2. In the case of descriptive units, there is nothing quite equivalent to the parallelism between chronology and clause order that exists in narrative units. However, they could be presented in such a way that the order of clauses/sentences corresponds to the spatial order of objects and individuals. This spatial order is not only based on the interpretation of an object in its spatial context, i.e. its location but also on general principles of perception and attention. The awareness of this type of organisation helps the reader to easily comprehend structures and also to use such an awareness in reading other descriptive non-narrative material. The question

here is whether the foreign learner is aware of the utility of such principles in reading. McCrimmon states that:

"The reader will only process details of spatial organisation if he is driven to do so."

(McCrimmon 1962)

which suggests that the learners need special training in organising such relationships in texts in order to improve their "success" in reading.

3. The simplifier should aim at a discourse which contains a reasonable distribution of "hypotactic" as well as "paratactic" structures in order to retain a reasonable degree of complexity without obstructing comprehension. The assumption made here is that "hypotactic" structures contain more information, in a sense, than the "paratactic" structures. Comprehension of the former requires recognition of the inter-sentential relationships, as well as the propositional content of the sentences. Comprehension of "paratactic" structures does not. A crucial factor underlying this assumption is "connection". A "paratactic" structure can only be easier to comprehend than a "hypotactic" structure if the marker used clearly indicates that the two clauses related represent events, states of affairs or processes which are of equal status.

Temporally or causally related structures, which are connected by "and" were found to be less comprehensible than explicitly marked hypotactic structures (Clarks 1968).

4. In hypotactic structures, sentences/clauses should be reorganised if necessary, in order to make explicit, by sequential order, the logical relationships between clauses/sentences as the original writer intends them to be seen. Rhetorical markers should be provided especially in those cases where the relationships may not be obvious to the reader without them. It seems reasonable to assume that such marking by making clear the rhetorical force of a clause/sentence, should in some sense make a text more comprehensible.

8.1.3 On the narrative level:

1. The order of episodes in a story should follow the temporal order of events taking place in them. The mismatch between story-time and discourse-time such as that caused by "flashback" types of narrative discourse could cause great difficulty in reading for a learner at this stage. Such types of narrative discourse should not be introduced until a later stage when the learner is aware of different narrative discourse types.

2. The relationships between different narrative components and how they structure within each other should be made explicit. For example, motifs forming a certain span should be reorganised so as to place the centre of information at the beginning of the span, followed by supporting information. The relationships between such motifs, however, should be reinforced through cohesion, subordination and coordination (4.3.3.1). On the episode level, span ordering should be as close as possible to the "primary sequence" suggested by Labov and Waletzky (4.3.3.2) as the "simplest form". This implies that Setting and background information should be placed as early as possible in the episode, while event information to be moved towards the end. Provided such organisation does not affect the semantic interpretation of the text, this will have the effect of setting up the internal context of the episode at the beginning, while, by isolating narrative events, it will make explicit the relationship between them.

3. A coherent narrative text is the outcome of an intersection and fusion of different types of information, event information, participants descriptions, setting descriptions and so forth. In order to obtain a coherent simplified text, the simplifier should maintain homogeneity between such types of information even if this leads to longer or more complex structures:

"For communicative success coherence may often rank as more important than the absolute grammatical correctness of sentences."

(Enkvist 1978:5)

In reducing information the criteria should be whether or not:

- a. this item of information represents normal expected causes or consequences of events that could be readily inferred from the context, or represents unexpected causes, consequences or explanations of events which would not normally be expected by the reader.
 - b. this information item is a presupposition for some other information following in the text.
 - c. this information is inductively recoverable from other types of information in the narrative.
4. The simplifier should be aware of the literary message underlying the narrative he sets out to simplify. This awareness will help him to ensure that participants and events are presented in a way that leads the reader to get the same message that the original writer intends him to get. One important method to achieve this is by retaining evaluative information in relation to participants and events, at different points in the narrative. Such evaluative information should not be disposed of unless it is obvious from other types of information in the narrative.
5. Performative spans should be retained in their original form as "direct discourse", though they may be shortened if necessary. The idea is to encourage the learner to form his own image of the speakers/participants through what they say instead of getting it ready-made (or distorted) through the simplifier.

In any case, recourse to "indirect speech structures" should only be made if the structure representing a "motif" contains less than three degree of embeddings.

This set of procedures is only a guideline to the simplifier. It is likely, however, that a great deal depends on the text and on the style of the individual author. Nonetheless, there are three basic characteristics of discourse which any simplifier needs to account for in a communicative approach to

simplification. The first is that it is essentially interactive, and involves negotiation of meanings (3.2) i.e. what is presented on a page as a written text has to be converted by the reader into discourse whereby meanings are negotiated. The second is that this interaction creates hierarchical structures whereby the combination of information units (e.g. motifs) builds up to larger units of communication (e.g. span, episode, story). The third characteristic is that underlying this linear and hierarchical structures there is a certain message which is the ultimate purpose of that discourse.

8.2 Pedagogical implications:

In view of the vast amount of reading research that has been done, it is surprising how little is known about how and what people learn through reading.* In fact it is only in recent years that learning through reading has become a focus of research interest.

Several writers have drawn attention to the need for reading comprehension to be reviewed in the total communication context. (cf Freedle and Carroll 1972 p. 359, Schlesinger 1968 p.158, Olsen 1972, p.148). The actual reading text is only one factor in a learning situation which includes the reader, his purpose in reading, degree of motivation and his prior knowledge.

One disadvantage of focusing too much on the text is the danger of ignoring the fact that reading is an interaction between the text and the reader. A valid approach should focus on the way in which the content and the structure of a text interact with the reader's prior knowledge, expectations as to the content, anticipation of possible structuring etc.

One pedagogical problem, however, is that students very often approach the text "cold", i.e. without any preparation. A way out of this, is to fit the reading text into a wider context which will make it more meaningful. Maroon (1971) has

* This is not restricted to reading. Very little is known about the amount of learning accomplished by students listening to lectures.

different types of narrative discourse such as the "flashback" technique, for example.

It has already been mentioned that simplified versions in this particular learning situation are used as a bridge to the original version. Prior training in recognising the global structure and the internal organisation of the simplified discourse could enable the learners to realise this organisation in the full version. Moreover, they could use this knowledge more effectively, and perhaps more interestingly, to impose structure on "badly-structured" texts, or on "deviant" narrative structuring.

8.3 Suggestions for further research:

1. The results obtained in this study indicate a need for further research in some areas. We need to test the degree of importance that attaches to each and every type of narrative information. This could be done by using a reading comprehension test on OV's and SV's studied by foreign learners, with test questions based on SV's.

We need also to know more about the effect on the information content of a text of the reduction of semantic information dimensions. This reduction is seen in the decrease of the number of synonyms, near-synonyms or collocational ties, and of adverbial phrases and redundant modifiers. In this area, comparison of simplifications produced by language teachers and experts of the particular field of study might give insights into what from the point of view of the academic field concerned, is redundant and what is not.

One further problem is the treatment of non-topical material (3.2) in simplified texts. If "authenticity" of discourse is considered to be of value to the foreign learner, syntactic and semantic complexity may at times be unavoidable. This complexity alone makes possible a natural inclusion of material which helps the reader to process the meanings of the texts, not as isolated facts, but as a piece of narrative communication.

2. This study restricted itself to narrative texts. From a practical point of view, however, this only serves one category

of learners, namely, foreign students who are aiming at studying English literature at University. With the wider use of tertiary education text books written in English, there will undoubtedly be a need for simplifying books which deal with non-literary subject-matter, i.e. those written for students of engineering, science, agriculture, philosophy etc. In order to do so, however, the present method of simplification may have to be adapted to correspond to differences in discourse feature:

"a different approach is needed to match the essentially different role which English assumes in higher education"

(Widdowson 1974:3)

A descriptive text/discourse, for example, may be characterised in terms of consequent units or paragraphs which proceed from "the general to the specific" or from the "particular to the general" or they may lay details in spatial order but there may be nothing equivalent to the parallelism between chronology and structural order that exists in narrative texts.

3. Using narrative texts, one might examine whether there is a correspondence between the narrative category "span" and a "paragraph". This could be examined in terms of paragraph connectives, repetition of items, cohesion and participant roles. In the present study no consistent correspondence between spans and paragraphs was found. An investigation of this relationship in other instances of discourse may be useful in throwing light on the structure of both units.

4. In the analysis of one of the four additional simplified versions at the beginning of the present chapter, it was found that an episode in the original was broken down into two or three episodes in the simplified version, which raises the possibility of an intermediate level between an "episode" and "a span". Grimes has mentioned the possibility of another category he called "incident", "whose surface forms are not simply strings of paragraphs but have their own characteristics." (1975).

This category however was never further discussed in Grimes, and there was never a need for it during the analysis of the two texts on which this study was based.

The question arises here as to whether an "incident" boundary can be identified within an episode. In Chrysalids, the parts into which an episode are broken down were clearly marked by a change in setting, only, but that is hardly enough for identification. An investigation into the question of how a group of spans hang together to form an "incident", which is distinguished from an "episode" is necessary.

8.4 Final Conclusions:

At present, and for the foreseeable future, practising teachers rely greatly on written texts to supply us with learning material. Yet as has already been suggested we know comparatively little about how readers learn from texts and how their performance may be improved. This study has taken a limited text/discourse oriented approach to the problem. A comprehensive approach to simplification would have to be multi-disciplinary, involving psychology, linguistics, sociology and information science. In applied linguistics it seems likely that one of the most profitable areas to examine in detail is rhetorical relationships on higher levels than sentences. We need to know how often such relationships are recognised and what part is played in this recognition by readers' prior knowledge.

There is at the moment a universal interest in the problems of people who are illiterate or near illiterate. It is hoped that in future, there will be greater awareness of the problem facing readers who have passed this stage and yet lack the training to make full use of their reading skills.

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Texts:

The Chrysalids (OV)	John Wyndham	1955.
The Chrysalids (SV)	Hutchinson	
Dombey and Son (OV)	C. Dickens	1961.
Dombey and Son (SV)	New Classic Series	
The Go-Between (OV)	L. B. Hartley	1953.
The Go-Between (SV)	Longman	

Great Expectations (OV)	C. Dickens	1965.
Great Expectations (SV)	Longman	
Treasure Island (OV)	R. Stevenson	1925.
Treasure Island (SV)	McGraw-Hill	

Appendix I

Kinds of information in
Texts A and B.

Text A.

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
		1. It was a rimy morning and very damp	1. I had seen the damp lying on the outside of my little window			
		I saw the damp lying on the bare hed- ges and spare grass.		1. as if some goblin had been crying there all night.		
		On every rail and gate wet lay clammy. The marsh-mist was so thick that the wooden finger on the post ... was in- visible to me until I was quite close.		2. like a coarser sort of spiders webs hanging itself from twig to twig		
			2. directing people to our village - a direction which they never accep- ted for they never came there.			
1. I looked at it	I	while it dripped				
		2. The mist was heavier yet when I got on the marshes.		3. it seemed to my oppressed conscience like a phantom de- voting me to the hulks.		

Events	Participants	Setting	Background	Evaluation	Collateral	Performativity
2. I was getting towards the river	I					
3. Upon which he put down his head blew a cloud of smoke out of his nose vanished with a kick of his hind-legs and a flourish of his tail.						
4. instead of my running at everything everything seemed to run at me. This was disagreeable to a guilty mind. The gates and dykes and banks came bursting at me through the mist as if they cried as plainly as could be "a boy with somebody else's pie, stop him." The cattle came upon me with like suddenness staring out of their eyes, steaming out of their nostrils.						
5. as the iron was riveted to the leg of the man I was running to meet.						

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
--------	--------------	---------	------------	------------	------------	--------------

I knew my way to the Battery pretty straight	I					
--	---	--	--	--	--	--

In the confusion of the mist I found myself too far to the right... (I) had to try back along the riverside on the ...	I Ø					
--	--------	--	--	--	--	--

3. I saw the man	I					
------------------	---	--	--	--	--	--

I went forward softly touched him on the shoulder	I Ø					
He jumped up	he					

5. for I had been down there on Sunday with Joe and Joe, sitting on an old gun, had told me that, when I was 'prentice to him regularly bound, we would have such larks there.						
--	--	--	--	--	--	--

6. Making my way along here with all despatch I had just crossed a ditch which I knew to be near the Battery (I) had just scrambled up the mound beyond the ditch.						
--	--	--	--	--	--	--

7. Sitting before me his back was towards me he had his arms folded he was nodding forward heavy with sleep.						
--	--	--	--	--	--	--

8. I thought he would be more glad if I came upon him with his breakfast in that unexpected manner						
--	--	--	--	--	--	--

Events	Parti- cipants	Setting	Background	Evaluation	Collateral	Performative
4. He swore an oath at me made a hit at me	he ø			9. It was not the same man but another man This man was dressed in coarse grey too had a great iron on his leg was lame, and hoarse and cold was everything the other man was except that he had not the same face and had a flat broad-brimmed low crowned-felt hat.		
				10. All this I saw in a moment for I had only a moment to see it in.		
				11. it was a round weak blow that missed me. for it made him stumble stumbling twice as he went		
				12. feeling my heart shoot as I identified him		
				3. I was soon at the Battery after that.		
				1. I should have felt the pain in my liver had I known where it was.		

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
			13. waiting for me hugging himself limping to and fro.	6. As if he had never all night left lugging and limping		
			he was awfully cold	7. I half expected to see him drop down before my face and die of deadly cold.		
			his eyes looked awfully hungry			
5. I handed him the file and he laid down on the grass	I he					2. It occurred to me he could have tried to eat it had he not seen my bundle.
I opened the bundle and emptied my pockets	I Ø			14. he did not turn me upside down this time to get at what I had, but left me right side upwards.		1. What's in the bottle boy? Brandy.

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
8. he took strong sharp sudden bites like the dog. he rather snapped up every mouthful too soon and too fast and looked sideways here and there while he ate	he he					4.-I am glad you enjoy it. -did you speak? -I said I was glad you enjoyed it -Thankee my boy, I do.
			18. I had often watched a dog of ours eating his food and I noticed a decided similarity between the dog's way of eating and the man's			
					11. as if he thought there was danger in every direction of somebody's coming....	
			19. he was altogether too unsettled in his mind over it			
					to appreciate it comfortably	
			In all of which particulars he was very much like the dog			5.-I'm afraid you won't leave any of it for him.

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
9. he held me by the collar stared at me	he Ø					
20. I said timidly after a silence during which I hesitated as to the politeness of making the remark						<p>-There is no more to be got where that came from.</p> <p>-leave any for him who him?</p> <p>-The young man, that you spoke of. That was hid with you?</p> <p>-Oh, him? Yes! he don't want no wittles</p> <p>-I thought he looked as if he did.</p>
21. he stopped eating regarded me with the keenest scrutiny and the greatest surprise.						
22. I began to think that his first idea about cutting my throat had revived.						<p>-Looked? when?</p> <p>-Just now.</p> <p>-Where?</p> <p>-Yonder, over there,</p> <p>-where I found him and thought it was you.</p>

Events	Parti- cipants	Setting	Background	Evaluation	Collateral	Performativ
6. he was handing mincemeat down his throat	he					
he left off to take some of the liquor he shivered all the while so vio- lently	he he					
he was gobbling mincemeat, bread, cheese and pork pie all at once	he					
8. more like a man who was putting it away somewhere in a violent hurry than a man who is eating it						
9. that it was quite as much as he could do to keep the neck of the bottle between his teeth without biting it off						
2. -I think you've got the argue? -I'm much of your opinion, boy.. -it's bad about here You've been lying out on the marshes -I'll eat my brea fast afore they've got the death of me						

Events

Participants

Setting

Background

-dressed like you,
only with a hat...
and

trembling
I was anxious to put this
delicately

-and with the same
reason for wanting
to borrow a file

6.-didn't you hear the
cannon last night?
-then there was firing
-I wonder you shouldn't
have been sure of that
for we heard it up
at home
-When a man is alone
on these flats with a
light head.....

7.-did you notice any-
thing in him?
-he had a badly bruised
face.

-not here?

-Yes, there.
-Where is he?

-Show me the way to
him
I'll pull him down...x
...

23.I said, recalling what I hardly
knew I knew

striking his cheek mercilessly with
the flat of his hand

10.he crammed what he
little food was
left into the
breast of his
jacket

Event	Parti- cipants	Setting	Background	Evaluation	Collateral	Performative
11. I indicated in what direction the mist shrouded the other man he looked up at it for an instant he was down on the rank wet grass filing at his iron like a madman	I he he Ø			24. not minding me or minding his own leg which had an old chafe on it and was bloody which he handled roughly 12. as if it had no feeling in it than the file		
12. I told him I must go but he took no notice I thought the best thing I could do was slip off.	I he I I			25. I was afraid of him again now that he had worked himself into this fierce hurry. I was likewise very much afraid of keeping away from home any longer 26. The last I saw of him his head was bent over his knee. he was working hard at his fetter muttering impatiently at it and at his leg. The last I heard of him I stopped in the mist to listen and the file was still going.		
12	3		26	12	2	7
						XI

Event	Participants	Setting	Background	Evaluation	Collateral	Performative
he swore an oath at me made a hit	he Ø			5. It was not the same man but another man he was dressed in coarse grey. had a great iron on his leg was lame shivering was everything the other was except that he had not the same face		
ran into the mist I thought it's the young man	Ø I			6. which missed me		
				7. feeling my heart jump as I identified him	1. I should have felt pain in my liver too if I had known where it was.	
		2. I was soon at the Battery		8. there was the right man waiting for me he was awfully cold his eyes looked awfully hungry		

Events	Participants	Setting	Background	Evaluation	Collateral	Performative
4. I had opened my bundle and emptied my pockets. he started eating in a violent hurry he left off to take some of the brandy he shivered he swallowed mincemeat, he bread, cheese and pork pie all at once	I Ø he he					
9. Staring distrustfully often stopping to listen.						1. -You're not a deceiving little devil? You brought no one with you? -No. Sir. No -Nor did you tell anyone to follow you? -No -Well, I believe you. You'd be but a fierce young dog indeed if at any time of your life
10. he sat greedily and raptively eating the pie					

Appendix II

Texts A and B.

It was a rimy morning, and very damp. I had seen the damp lying on the outside of my little window, as if some goblin had been crying there all night, and using the window for a pocket-handkerchief. Now, I saw the damp lying on the bare hedges and spare grass, like a coarser sort of spiders' webs; hanging itself from twig to twig and blade to blade. On every rail and gate, wet lay clammy and the marsh-mist was so thick, that the wooden finger on the post directing people to our village - a direction which they never accepted, for they never came there - was invisible to me until I was quite close under it. Then, as I looked up at it, while it dripped, it seemed to my oppressed conscience like a phantom devoting me to the Hulks.

The mist was heavier yet when I got out upon the marshes, so that instead of my running at everything, everything seemed to run at me. This was very disagreeable to a guilty mind. The gates and dykes and banks came bursting at me through the mist, as if they cried as plainly as could be, 'A boy with Somebody-else's pork pie! Stop him! The cattle came upon me with like suddenness, staring out of their eyes, and steaming out of their nostrils, 'Holloa, young thief! One black ox, with a white cravat on - who even had to my awakened conscience something of a clerical air - fixed me so obstinately with his eyes, and moved his blunt head round in such an accusatory manner as I moved round, that I blubbered out to him, 'I couldn't help it, sir! It wasn't for myself I took it!' Upon which he put down his head, blew a cloud of smoke out of his nose, and vanished with a kick-up of his hind-legs and a flourish of his tail.

All this time, I was getting on towards the river; but however fast I went, I couldn't warm my feet, to which the damp cold seemed riveted, as the iron was riveted to the leg of the man I was running to meet. I knew my way to the Battery, pretty straight, for I had been down there on a Sunday with Joe, and Joe, sitting on an old gun, had told me that when I was 'prentice to him regularly bound, we would have such Larks there! However, in the confusion of the mist, I found myself at last too far to the right, and consequently had to try back along the river-side, on the bank of loose stones above the mud and the stakes that

staked the tide out. Making my way along here with all despatch, I had just crossed a ditch which I knew to be very near the Battery, and had just scrambled up the mound beyond the ditch, when I saw the man sitting before me. His back was towards me, and he had his arms folded, and was nodding forward, heavy with sleep.

I thought he would be more glad if I came upon him with his breakfast, in that unexpected manner, so I went forward softly and touched him on the shoulder. He instantly jumped up, and it was not the same man, but another man!

And yet this man was dressed in coarse grey, too, and had a great iron on his leg, and was lame, and hoarse, and cold, and was everything that the other man was; except that he had not the same face, and had a flat broad-brimmed low-crowned felt hat on. All this, I saw in a moment, for I had only a moment to see it in: he swore an oath at me, made a hit at me - it was a round weak blow that missed me and almost knocked himself down, for it made him stumble - and then he ran into the mist, stumbling twice as he went and I lost him.

'It's the young man!' I thought, feeling my heart shoot as I identified him. I dare say I should have felt a pain in my liver, too, if I had known where it was.

I was soon at the Battery, after that, and there was the right man - hugging himself and limping to and fro, as if he had never all night left off hugging and limping - waiting for me. He was awfully cold, to be sure. I half expected to see him drop down before my face and die of deadly cold. His eyes looked so awfully hungry, too, that when I handed him the file and he laid it down on the grass, it occurred to me he would have tried to eat it, if he had not seen my bundle. He did not turn me upside down, this time, to get at what I had, but left me right side upwards while I opened the bundle and emptied my pockets.

'What's in the bottle, boy?' said he.

'Brandy', said I.

He was already handing mincemeat down his throat in the most curious manner - more like a man who was putting it away

somewhere in a violent hurry, than a man who was eating it - but he left off to take some of the liquor. He shivered all the while, so violently, that it was quite as much as he could do to keep the neck of the bottle between his teeth, without biting it off.

'I think you have got the ague', said I.

'I'm much of your opinion, boy', said he.

'It's bad about here,' I told him. 'You've been lying out on the meshes, and they're dreadful aguish . Rheumatic too.'

'I'll eat my breakfast afore they're the death of me', said he. 'I'd do that, if I was going to be strung up to that there gallows as there is over there, directly afterwards. I'll beat the shivers so far, I'll bet you.'

He was gobbling mincemeat, meatbone, bread, cheese, and pork pie, all at once: staring distrustfully while he did so at the mist all round us, and often stopping - even stopping his jaws - to listen. Some real or fancied sound, some clink upon the river or breathing of beast upon the marsh, now gave him a start, and he said suddenly:

'You're not a deceiving imp? You brought no one with you?'

'No, sir, No!'

'Nor giv' no one the office to follow you?'

'No!'

"Well," said he, 'I believe you. You'd be but a fierce young hound indeed, if at your time of life you could help to hunt a wretched warmint, hunted as near death and dunghill as this poor wretched warmint is!'

Something clicked in his throat, as if he had works in him like a clock, and was going to strike. And he smeared his ragged rough sleeve over his eyes.

Pitying his desolation, and watching him as he gradually settled down upon the pie, I made bold to say, 'I am glad you enjoy it.'

'Did you speak?'

'I said I was glad you enjoyed it.'

'Thankee, my boy. I do'.

I had often watched a large dog of ours eating his food; and now I noticed a decided similarity between the dog's way of eating, and the man's. The man took strong sharp sudden bites, just like the dog. He swallowed, or rather snapped up, every mouthful, too soon and too fast; and he looked sideways here and there while he ate, as if he thought there was danger in every direction, of somebody's coming to take the pie away. He was altogether too unsettled in his mind over it, to appreciate it comfortably, I thought, or to have anybody to dine with him, without making a chop with his jaws at the visitor. In all of which particulars he was very like the dog.

'I am afraid you won't leave any of it for him', said I, timidly; after a silence during which I had hesitated as to the politeness of making the remark. 'There's no more to be got where that came from.' It was the certainty of this fact that impelled me to offer the hint.

'Leave any for him? Who's him?' said my friend, stopping in his crunching of pie-crust.

'The young man. That you spoke of. That was hid with you.'

'Oh ah!' he returned, with something like a gruff laugh. 'Him? Yes, yes! He don't want no wittles.'

'I thought he looked as if he did,' said I.

The man stopped eating, and regarded me with the keenest scrutiny and the greatest surprise.

'Looked? When?'

'Just now.'

'Where?'

'Yonder,' said I, pointing; 'over there, where I found him nodding asleep, and thought it was you.'

He held me by the collar and stared at me so, that I began to think his first idea about cutting my throat had revived.

'Dressed like you, you know, only with a hat,' I explained, trembling; 'and - and' - I was very anxious to put this delicately - 'and with - the same reason for wanting to borrow a file. Didn't you hear the cannon last night?'

'Then, there was firing!' he said to himself.

'I wonder you shouldn't have been sure of that,' I returned, 'for we heard it up at home, and that's further away, and we were shut in besides.'

'Why, see now!' said he, 'When a man's alone on these flats, with a light head and a light stomach, perishing of cold and want, he hears nothin' all night, but guns firing, and voices calling. Hears? He sees the soldiers, with their red coats lighted up by the torches carried afore, closing in round him. Hears his number called, hears himself challenged, hears the rattle of the muskets, hears the orders "Make read! Present! Cover him steady, men!" and is laid hands on - and there's nothing'! Why, if I see one pursuing party last night - coming up in order, Damn'em, with their tramp, tramp - I see a hundred. And as to firing. Why, I see the mist shake with the cannon, arter it was broad day - But this man;' he had said all the rest, as if he had forgotten my being there; 'did you notice anything in him?'

'He had a badly bruised face,' said I, recalling what I hardly knew I knew.

'Not here?' exclaimed the man, striking his left cheek mercilessly, with the flat of his hand.

'Yes, there!'

'Where is he?' He crammed what little food was left, into the breast of his grey jacket. Show me the way he went. I'll pull him down, like a broodhound. Curse this iron on my sore leg! Give me hold of the file, boy.'

I indicated in what direction the mist had shrouded the other man, and he looked up at it for an instant. But he was down on the rank wet grass, filing at his iron like a madman, and not minding me or minding his own leg, which had an old chafe upon it and was bloody, but which he handled as roughly as if it had no more feeling in it than the file. I was very much afraid of him again, now that he had worked himself into this fierce hurry, and I was likewise very much afraid of keeping away from home any longer. I told him I must go, but he took no notice, so I thought the best thing I could do was to

slip off. The last I saw of him, his head was bent over his knee and he was working hard at his fether, muttering impatient imprecations at it and at his leg. The last I head of him, I stopped in the mist to listen, and the file was still going.

It was a frosty morning, and very damp. On the marshes the mist was so heavy that everything seemed to run at me.

I was getting on towards the river, but however fast I went, I couldn't warm my feet. I knew my way to the Battery, but in the confusion of the mist, I found myself at last too far to the right, and consequently had to turn back along the riverside. I had just crossed a ditch when I saw the man sitting before me. His back was towards me, and he had his arms folded, and was nodding forward, heavy with sleep.

I thought he would be more glad if I came upon him with his breakfast, in that unexpected manner, so I went forward softly and touched him on the shoulder. He instantly jumped up, and it was not the same man, but another man.

And yet this man was dressed in coarse grey, too, and had a great iron on his leg, and was lame, and shivering, and was everything that the other was, except that he had not the same face. He swore an oath at me, made a hit which missed me, and then he ran into the mist.

"It's the young man!" I thought, feeling my heart jump as I identified him. I should have felt a pain in my liver, too, if I had known where it was.

I was soon at the Battery after that, and there was the right man waiting for me. He was awfully cold, and his eyes looked awfully hungry. No sooner had I opened my bundle and emptied my pockets than he started eating in a violent hurry, but he left off to take some of the brandy. He shivered as he swallowed mincemeat, bread, cheese and pork pie, all at once, staring distrustfully and often stopping to listen. Suddenly he said: "You're not a deceiving little devil? You brought no one with you?"

"No, sir, No."

"Nor did you tell any one to follow you?"

"No."

"Well," said he, "I believe you. You'd be but a fierce young dog indeed, if at your time of life you could help to hunt a wretched man like me."

As he sat greedily and furtively eating the pie, I told him that I was afraid he would not leave any of it for the young man. He told me with something like a coarse laugh that the young man didn't want any food.

I said that I thought he looked as if he did, and that I had seen him just then, dressed like him and having an iron on his leg, and I pointed to where I had met him. He asked excitedly if he had a bruise on his left cheek, and when I replied that he had, he ordered me to show him the way to him, and taking the file from me, he sat down on the wet grass, filing at his iron like a madman. Fearing I had stayed away from home too long, I slipped off and left him working hard at his feeter.